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Vision Mutual Fund Gat way Training Guid s

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PRINT OF DRAWINGS
AS ORIGINALLY FILED

Vision

Vision Mutual Fund Gateway®

Training Guide

Inquiry

November 1999

DST
SYSTEMS

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Introduction

What is Vision?

DST's Vision Mutual Fund Gateway is an interactive Web site, located at <http://www.dstvision.com> (<http://www.dstvision128.com>) that allows financial intermediaries such as broker/dealers and financial advisors, the ability to access fund, shareowner account, and dealer information in a real-time environment through the Internet. Information such as shareowner positions, account options, transaction histories, fund pricing and yields are some of the features available through Vision.

Such information includes:

- fund information
- net asset value summaries
- distribution information
- order information
- dealer, branch, and representative asset information
- account summaries by representative or advisor number

Vision Inquiry also enables financial intermediaries to access account information by:

- dealer account number
- fund account number
- shareholder name
- tax identification number or Social Security number
- representative or advisor number.

Vision Advantages

Vision was designed and developed specifically for the financial intermediary. We have focused on providing the financial professional with a truly friendly product that will make a tremendous impact on daily operations efficiency.

Vision provides:

- single logon access for all authorized fund groups
- real-time, up-to-date fund and shareholder account information

- transaction processing
- new account establishment
- intranet and extranet access

Other Information About Vision

The Training material contained in this manual will supplement the online help that is part of the Vision Web site. You may access this help material by clicking on the Help link at the bottom of any Vision window. The help information is displayed in a separate frame. Close the help frame to move back to the Vision content.

Transaction and New Account Establishment

For information about the transaction features of Vision Mutual Fund Gateway, refer to the Vision Transaction Training Guide. For information about the new account establishment features of Vision Mutual Fund Gateway, refer to the New Account Establishment Training Guide.

Using This Guide

The Vision Inquiry Training Guide is composed of the following sections:

- Chapter 1: Explains how to log on to the Vision Mutual Fund Gateway Internet site, change your password, or select a fund management company.
- Chapters 2-16: Describes how to use the Inquiry features of Vision Mutual Fund Gateway.

Each chapter includes the following information:

- **Vision windows**—Images of each Vision window.
- **Overview**—A high-level description of the information displayed on each window.
- **Procedures**—The steps that must be completed on the window before continuing to the next window.
- **Entry Field Definitions**—The name and descriptions of all fields that require entry or selection of information.
- **Display Field Definitions**—The name and description of fields that display information.
- **Link Definitions**—Describes hyperlinks to other windows within Vision.

Security on the Vision Web Site

Vision is secured by operator ID and password. All Vision users will be issued a Vision ID and password. Sharing an ID is not recommended. When the password expires or is invalid, the user will be prompted for a new or valid password.

See *Chapter 1: Accessing Vision Mutual Fund Gateway* for instructions on entering your operator ID and password, and for accessing the Vision Web site.

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NOTES

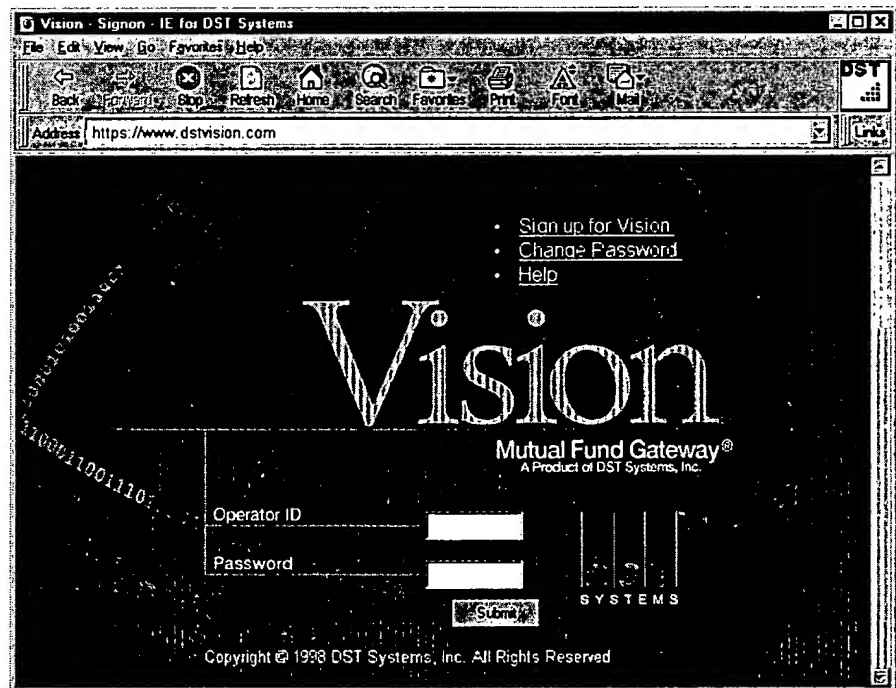
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Chapter 1:

Accessing Vision Mutual Fund Gateway

Vision may be accessed by typing <http://www.dstvision.com> into the address box of your browser. If the fund requires 128-bit encryption, type <http://www.dstvision128.com>.

Note: Some funds require 128-bit encryption.



Sign On window

Vision Sign On

Overview

The Vision Sign-On window enables you to sign on to the system.

Note: All you need to use Vision is an Internet browser. Vision supports the latest versions of Microsoft Internet Explorer and Netscape Navigator/Communicator browsers. A monitor resolution of 800x600 is recommended.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your password in the Password field.
3. Click **Submit**.

The Vision Mutual Fund Gateway Internet Agreement displays.

Entry Field Definitions

Operator ID

Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows. Your ID is assigned by the Vision Group ID and will be from four to eight alphanumeric characters long. To obtain an ID, go to the Vision enrollment Web site at <http://www.dstvisioninfo.com> and complete the online enrollment form. If the ID is not used within seven days of being assigned, or if there is no activity on the ID for 60 days, the ID will be disabled. To reset your ID, contact the DST Help Desk at (800) 228-3574.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character from the following list: !@#%_&*()-/?_+=/. The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Note: If your ID is reset, your password will default to the initial password assigned by the Vision Group.

Link Definitions

Sign Up for Vision

The Vision enrollment Web site contains information about the features and benefits of Vision as well as the required forms to enroll in Vision or to add funds to your existing access.

Change Password

The Change Password window allows you to change your Vision password.

Help

All Vision Help windows open a new iteration of your browser. Please close the Help frame to return to Vision. This link appears on every page of the Vision Web Site.

Change Password

The screenshot shows a web browser window with the URL <http://170.40.72.217/ri/VisionTest?tx=Password&cz=b2108180814132/19041819&idx=91639454170807092>. The page title is "Vision® Change Password". It features a logo on the left and a form with the following fields and labels:

- Operator ID: (Label: Re-enter your Vision operator ID)
- Password: (Label: Re-enter your Current Vision Password)
- A note: "The new password must be a minimum of 7 and a maximum of 28 characters long and must contain at least one character from the following list: @ * % & - 0 1 2 3 4 5 6 7 8 9 A B C D E F G H I J K L M N O P Q R S T U V W X Y Z _" (Note: The list in the image is partially obscured and appears as @ * % & - 0 1 2 3 4 5 6 7 8 9 A B C D E F G H I J K L M N O P Q R S T U V W X Y Z _)
- Change Password: (Label: Enter your New Password)
- Verify Password: (Label: Re-enter your New Password)
- A "Submit" button.
- A "Help" link.
- Copyright © 1999 DST Systems Inc. All rights Reserved.

Overview

The Change Password window enables you to change your current password. This window should also be used when your password has been reset.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your current password in the Password field. If your Vision sign-on ID is disabled, contact the DST Help Desk at (800) 228-3574 to reset your sign-on ID and password.
3. Type your new password in the Change Password field. The password must be a minimum of seven characters and a maximum of eight characters long and must contain at least one non-alpha, non-numeric character from the following list: ! @ # % _ & * () - / ? = + .
4. Type your new password a second time in the Verify Password field.
5. Click **Submit**.

Note: Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, an error message will result. Use your browser's **Back** button to attempt to change the password again.

Your password will be updated and the Vision Agreement displays.

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Visi n®
Agreement

(Please review the terms and conditions of the Vision agreement. To continue, scroll to the end of the agreement and click on "I agree".)

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DST authorizes you to access only information about a mutual fund or investment company, or certain accounts in the fund or plan, if you have the agreement of the mutual fund or investment company allowing such access. (You will make no deliberate attempt to access any information which you do not have permission to access. If you discover that you have access to information you do not have authority to access, you agree to immediately terminate such access and inform DST at 800-435-4112. Although each mutual fund or investment company controls access to information about its fund, investments, accounts, or plans, DST, as provider of Vision®, or the affected mutual fund or investment company, may deny any user access without prior notice whenever either DST or the affected mutual fund or investment company in their sole discretion deem it necessary.)

I AGREE

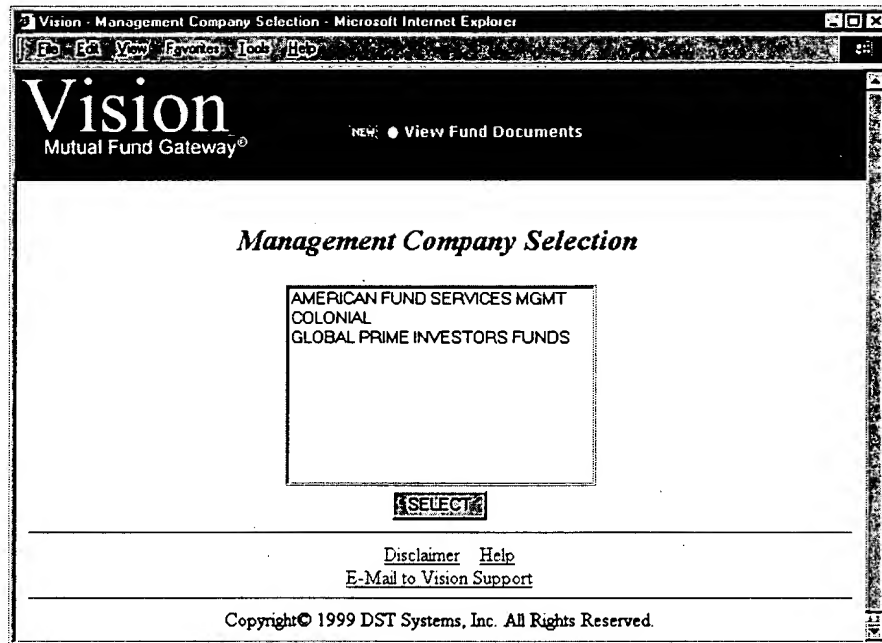
Vision Disclaimer window

Vision Internet Agreement

Procedures

The Vision Mutual Fund Gateway Internet Agreement appears the first time you log on and will appear every 150 days subsequently for each operator ID. Click **I Agree** once you have read the agreement. The Management Company Selection window displays.

Management Company Selection



Vision Management Company Selection window

Overview

The Management Company Selection window enables you to select from a list of fund management companies that use Vision Mutual Fund Gateway.

Procedures

1. Highlight the name of the management company in the list box.

Note: Vision will list only management companies for which you have access. To scroll through the list, click the up or down arrow button.

2. Click Select. The Management Company Menu displays.

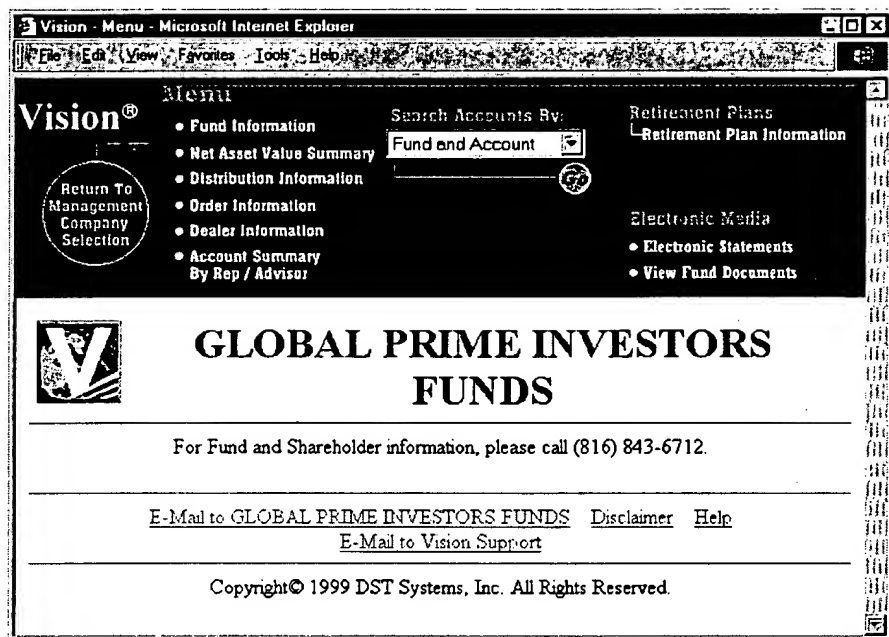
Note: To add additional fund management companies to your current access, click the Sign up for Vision hyperlink on the initial Vision Sign-on window to go to the Vision enrollment Web site. Complete the Additional Funds Request form. Send or fax the form to the Vision group. To go directly to the enrollment site, access <http://www.dstvisioninfo.com>.

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Chapter 2:

Getting Started



Vision Menu window

Management Company Menu

Overview

The Management Company Menu window provides options for accessing detailed information about the management company.

Procedures

Click on the desired information topic. The selected window will appear.

Link Definitions

Return to Management Company Selection

Returns you to the Management Company Selection window.

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

Distribution Information

Displays a specific fund's dividend and capital gain information (including a record date, dividend and capital gain rate and price, reinvestment price and payable and reinvestment date).

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/Serv control number.

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of open accounts by fund, share volume by fund, assets by fund, and totals).

Search Accounts By

Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number within a specific fund or across all funds in a family of funds.

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Fund and Account

Enables you to retrieve shareholder account information by fund account number within a specific fund or across all funds in a family of funds.

Shareholder Name

Enables you to retrieve shareholder account information by shareholder name within a specific fund or across all funds in a family of funds.

Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or social security number within a specific fund or across all funds in a family of funds.

Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number within a specific fund or across all funds in a family of funds. You can retrieve and sort accounts by the following criteria:

- tax ID number and ZIP code
- cumulative discount number and ZIP code
- fund number and account number
- alphabetically by shareholder name

Retirement Plans

Retirement Plan Information

(appears only if the management company supports this option)

This new feature on the Vision Menu provides access to information about defined contribution plans including:

- plan assets and year-to-date contributions
- price and yield information
- summary of plan participants
- loan and withdrawal information by participant

Electronic Media

Electronic Statements

(appears only if the management company supports this option)

Vision users can access, view and print electronic statements that correspond in look, content and format to paper statements. You can search for electronic statements by tax ID/SSN, Rep/Advisor or Shareholder Name. Once you locate

the transaction, click the hyperlink to view, download or print an electronic statement including management company information, a portfolio summary, recommended portfolio allocation, earnings summary and year-to-date contributions.

View Fund Documents

(appears only if the management company supports this option)

This feature allows the Vision client to access electronic images of prospectuses, fact sheets and other fund documents. The documents are searchable by SKU (stock-keeping unit), description or document type. Click **Item Image** to view, download and print the document displayed in the Search Results window.

E-Mail to Fund

E-Mail to Fund Hyperlink

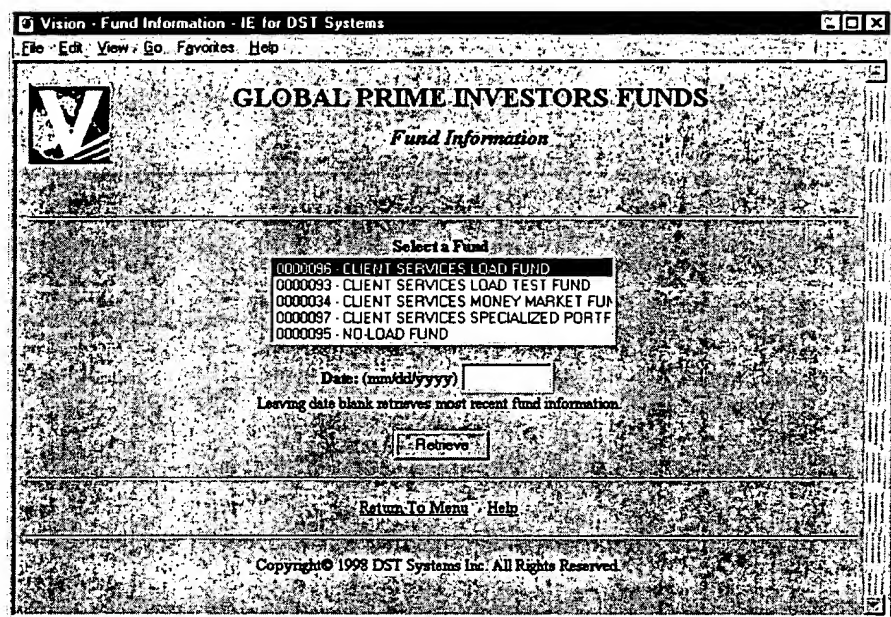
(appears only if the management company supports this option)

A hyperlink near the bottom of the Vision Menu opens a window that allows you to e-mail questions and comments directly to the fund management company. The Comments field is required. Add your name, phone number or e-mail address or call the fund company if you would like a response.

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Chapter 3:

Fund Information



Fund Information window

Fund Information

Overview

The Fund Information window displays a fund's net asset value (NAV), daily dividend rate, yields, average maturity, redemption charge, and exchange charge for a specified date.

Procedures

1. Highlight the desired fund from the Select a Fund list box.
2. Type the date for which you want fund information. If you do not type a date, the most recent information will be retrieved. If you enter a non-business day (Saturday, Sunday, or a holiday) the previous business day's information will be retrieved.
3. Click the Select button. General fund information will be displayed.

Entry Field Definitions

Date

Indicates the pricing date for which fund information is retrieved. The date must be entered in mm/dd/yyyy format. For example, to specify the date February 16, 1998, type "02/16/1998". If no date or a non-business day is entered, the most recent valid business day's information will be retrieved.


Retrieve Previous Date

When selected, this check box will cause the prior day's information to be retrieved.

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Vision - Fund Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Fund Information

CLIENT SERVICES LOAD FUND

Ticker - CSLD CUSIP - 531545101 Fund Code - 96

Rate/quotations as of 06/17/1999

NAV: \$55.6100

Daily Dividend Rate: 0.001234567

Average Maturity (days): 0

Redemption/Exchange charge(s) may apply

NOTE: Past performance is not indicative of future results.

Yields As of Date

Daily

Current 7-day

Effective 7-day

30 day

Annual

Discount Category

Breakpoint Levels	Sales Commission	Dealer Concession	Price	Discount Category
999,999.99	50.000%	40.000%	\$111.2200	01
999,999,999,999.99	50.000%	40.000%	\$111.2200	05
9,999,999,999,999.99	0.000%	0.000%	\$55.6100	99

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

Date: (mm/dd/yyyy) 06/17/1999

Leaving date blank retrieves most recent fund information.

☐ Retrieve previous date

Retrieve

[Return to Menu](#) [Discontinue](#) [Help](#)

[E-Mail to Vision Support](#)

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Fund Information window

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Display Field Definitions

(Listed in window order.)

NAV

Displays the Net Asset Value. The Net Asset Value is the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

Daily Dividend Rate

Displays the daily dividend rate for the fund and date specified (applicable for daily dividend funds only).

Average Maturity (days)

Displays the average time before the debt securities held by the fund will mature.

Redemption Charge

Displays the dollar amount or percentage if the fund has a charge to redeem shares.

Exchange Charge

Displays the dollar amount of the charge if the fund charges shareholders to exchange into another fund.

Daily (yield)

Displays the daily yield by the fund for the date displayed.

Current 7-Day (yield)

Displays the current seven-day yield average, as defined by the fund. The current seven-day yield average describes past performance of the fund and does not guarantee future results.

Effective 7-Day (yield)

Displays the effective seven-day yield average, as defined by the fund. The effective seven-day yield average describes past performance of the fund and does not guarantee future results.

30 Day (yield)

Displays the 30-day yield average, as defined by the fund. The 30-day yield average describes past performance of the fund and does not guarantee future results.

Annual (yield)

Displays the annual yield average, as defined by the fund. The annual yield average describes past performance of the fund and does not guarantee future results.

Breakpoint Levels

Displays the purchase amount cut-off at which shareholders will be given discounts on the sales charge paid on new shares purchased. As the breakpoint amount increases, the sales charge associated with the price decreases.

Sales Commission

Displays the total fee paid to a broker for executing a trade based on the number of shares traded or dollar amount of the trade.

Dealer Concession

Displays the portion of the sales charge retained by the mutual fund underwriter when processing purchase transactions.

Price

Displays the breakpoint value of one share of a mutual fund on any given date.

Discount Category

Displays the number assigned to each breakpoint amount.

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NOTES

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Chapter 4:

Net Asset Value Summary

GLOBAL PRIME INVESTORS FUNDS
Net Asset Value Summary

Fund Code	Fund Name	NAV	As of
0000096	CLIENT SERVICES LOAD FUND	\$36.0000	02/12/1999
0000093	CLIENT SERVICES LOAD TEST FUND	\$1.1900	02/12/1999
0000034	CLIENT SERVICES MONEY MARKET FUND	\$19.1000	02/12/1999
0000097	CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$10.3900	02/12/1999
0000095	NO-LOAD FUND	\$1.0200	02/12/1999

Date: (mm/dd/yyyy) 02/12/1999
Leaving date blank retrieves most recent fund information.
☐ Retrieve previous date

Return To Menu Help

Net Asset Value Summary window

Net Asset Value Summary

Overview

The Net Asset Value Summary window displays NAV information for each fund in the fund company. Information for the current date is initially displayed by default.

Procedures

To view information for a different date, complete the following steps:

1. Type the desired date in the Date field or select the Retrieve Previous Date check box.
2. Click the Retrieve push button.

Information for the requested date will be displayed.

Entry Field Definitions

Date

Indicates the date for which net asset value information is displayed. The date must be entered in mm/dd/yyyy format. For example, to specify the date February 16, 1998, type 02/16/1998. If no date or a non-business date is entered, the most recent information will be displayed.

Retrieve Previous Date

When selected, this check box will cause the prior day's information to be retrieved.

Display Field Definitions

(Listed in window order.)

DST Fund Code

Displays the numeric code used to identify a fund on TA2000®.

Fund Name

Displays the full name of the fund.

NAV

Displays the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

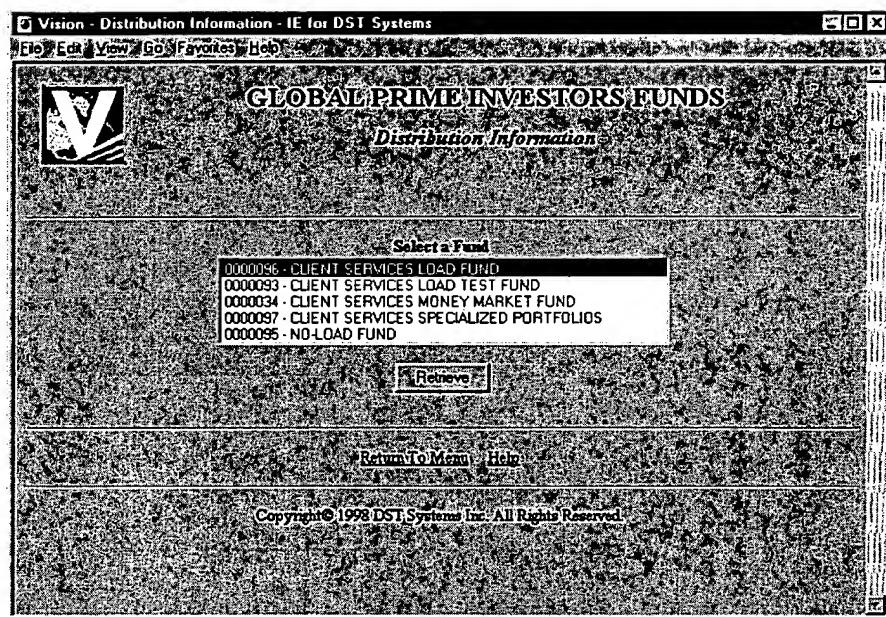
As Of

Displays the date on which the net asset value per share was calculated.

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Chapter 5:

Distribution Information



Distribution Information window

Distribution Information

Overview

The Distribution Information window displays a specific fund's dividend and capital gain information.

Procedures

1. Highlight the desired fund from the Select a Fund list box.
2. Click the Retrieve push button.

All distribution information for the specified fund will be displayed — most recent record date is first.

Vision - Distribution Information - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS

Distribution Information

CLIENT SERVICES LOAD FUND
Ticker: CSLD CUSIP: 531545101 Fund Code: 96

Record Date	Short Term Rate	Short Term Reinvest Price	Long Term Rate	Long Term Reinvest Price	Dividend Rate	Dividend Reinvest Price	Payable Date	Reinvest Date
02/10/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/10/1999	02/10/1999
02/08/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/08/1999	02/08/1999
02/05/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/05/1999	02/05/1999
02/03/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	02/03/1999	02/03/1999
01/29/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/29/1999	01/29/1999
01/14/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/14/1999	01/14/1999
01/11/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/11/1999	01/11/1999
01/07/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/07/1999	01/07/1999
01/05/1999	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$36.0000	01/05/1999	01/05/1999
08/31/1998	0.000000000	\$0.0000	0.000000000	\$0.0000	0.000000000	\$35.9900	08/31/1998	08/31/1998
12/11/1997	0.020000000	\$25.9900	0.090000000	\$25.9900	0.000000000	\$25.9900	12/12/1997	12/12/1997
12/01/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.500000000	\$0.0000	12/01/1997	12/01/1997
07/17/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.500000000	\$25.7200	07/17/1997	07/17/1997
07/15/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.250000000	\$0.0000	07/15/1997	07/15/1997
07/14/1997	0.000000000	\$0.0000	0.000000000	\$0.0000	0.250000000	\$25.7200	07/14/1997	07/14/1997

Distribution Information window

Display Field Definitions

(Listed in window order.)

Record Date

Displays the date on which a fund's distributions were recorded.

Short-Term Rate

Displays the dollar amount of the short-term capital gains that are paid per share.

Short-Term Reinvest Price

Displays the price per share at which short-term capital gains are reinvested.

Long-Term Rate

Displays the dollar amount of the long-term capital gains that are paid per share.

Long-Term Reinvest Price

Displays the price per share at which long-term capital gains are reinvested.

Dividend Rate

Displays the dollar amount of the dividend distribution to be paid per share.

Dividend Reinvest Price

Displays the price per share for dividends to be reinvested.

Payable Date

Displays the date on which a distribution is made payable to shareholders.

Reinvest Date

Displays the reinvest date of the distribution. This date is used to determine the reinvestment price.

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Chapter 6:

Order Information

Order Information window

Order Information

Overview

The Order Information window displays price, share, date, dividend, capital gain, and summary information for an order.

Procedures

To select an order, complete one of the following fields:

- Select appropriate fund from the Select a Fund field.
- To retrieve information by order number, type the fund order number in the Order Number field.
- To retrieve information by control number, type the NSCC control number in the NSCC Control Number field.

1. Click the Retrieve push button.

Information for the requested order will be displayed.

The screenshot shows a window titled "Vision - Order Information - IE for DST Systems". The window contains a form for "GLOBAL PRIME INVESTORS FUNDS" with the following fields:

GLOBAL PRIME INVESTORS FUNDS		
Order Information		
CLIENT SERVICES LOAD FUND		
Ticker: CSLD	CUSIP: 531545101	Fund Code: 96
Order Number: 000012345	Dealer Branch: 8880109.008	
NSCC Control Number:	ARTIE BROKERAGE	
Transaction: REGULAR PURCHASE	N24 DISNEY ROAD	
Status: S45	KANSAS CITY, KS 66101	
Trade Code/Suffix: 001000	64105	
Gross:	\$33.00	Confirmation: 11/09/1994
Price:	\$33.0000	Processed:
Shares:	1.0000	Trade: 11/09/1994
Trade NAV:	\$33.00	Payment:
Dealer Net:	\$33.00	
Discount Category:	101	
Income Dividend Amount:	\$0.00	Fund Type: Load
Income Dividend Shares:	0.1310	Account: 22222
Stock Dividend Shares:	0.0000	Alpha Code: LHUAMARVE
Capital Gain Amount:	\$0.00	LOI Number: 000000000
Capital Gain Shares:	0.0510	Management Code: CS

Order Information window

Entry Field Definitions

Order Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

NSCC Control Number

A valid order number or NSCC control number is required. If you do not know the order number or NSCC control number, contact your mutual fund representative.

Display Field Definitions

(Listed in window order)

Transaction

Displays the description for the type of transaction entered.

Status

Displays the status of the transaction.

Tran Code/Suffix

Displays the transaction code and suffix. The transaction code and suffix are assigned by the fund to define the specific transaction type for the transaction.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Gross

Displays the gross dollar amount of the purchase or redemption trade.

Price

Displays the price per share that corresponds to the transaction record.

Shares

Displays the number of shares corresponding to the order.

Trade NAV

Displays the net asset value dollar amount of the trade. This dollar amount equals the total number of shares in the trade multiplied by the net asset value (NAV) as of the trade date.

Dealer Net

For purchases, displays the total net dollar amount due from the dealer or the shareholder. **For load funds**, displays the gross dollar amount less the dealer commission amount. **For redemptions**, displays the total net proceeds due to the dealer or the shareholder.

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

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Confirmation

Displays the month, day, and year on which the trade was processed.

Processed

Displays either the date the trade was processed to a shareholder's account or the date the trade was deleted from the Fail/Free File.

Trade

Displays the trade date that the operator assigned to the transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price on the day the transaction was effective.

Payment

Displays the effective date of the trade for the transaction. The effective date indicates the date on which the dividend will be credited to the shareholder's account.

Income Dividend Amount

Displays the dollar value of dividends calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Income Dividend Shares

Displays the share quantity for dividends calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Stock Dividend Shares

Displays the share quantity for open trades on the Order Processing File for funds that have experienced a stock split. All trades that are open at the time of the stock split are adjusted accordingly. In the case of a 2-for-1 stock split, a trade for 150.000 shares would be increased by 150.000 shares. The increased number of shares is displayed in this field.

Capital Gain Amount

Displays the dollar value of capital gains calculated while an order purchase was pending settlement and for which a check was mailed to the dealer.

Capital Gain Shares

Displays the share quantity for capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

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Short-Term Shares

Displays the share quantity for short-term capital gains calculated while an order purchase was pending settlement and for which shares were reinvested into the account once settled.

Account

Displays the shareholder's account number, as identified by the fund company.

Alpha Code

Displays a shareholder's alpha code — a ten-character code used to designate the shareholder. It can be formatted in one of two ways:

- the entire last name (up to ten characters) followed by as much of the first name as will fit
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial

If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

LOI Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

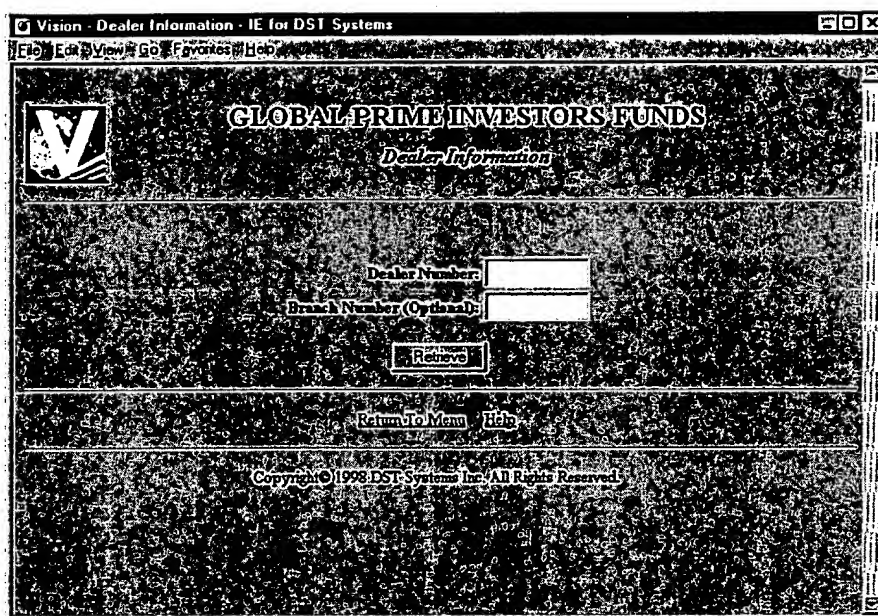
Management Code

Displays the two-character, alphabetic code used to identify the management company.

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Chapter 7:

Dealer Information



Dealer Information window

Dealer Information

Overview

The Dealer Information window provides summary information at the dealer or dealer/branch level.

Procedures

1. Type the dealer number in the Dealer Number field.

Note: Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

2. You may also enter the branch number in the Branch Number field to retrieve branch-level summary information (optional).
3. Click the Retrieve push button.

The requested dealer information will be displayed.

The type of information displayed will depend on your operator ID security level.
If you have:

- **Dealer number security:** you may view specific dealer or dealer/branch summary information
- **Dealer/branch security:** you may view branch-level summary information only
- **Dealer/representative security:** you may view dealer registration information only
- **Tax ID security:** you may view dealer or dealer/branch registration information
- **No security:** you may view dealer level and branch level summary information.

Entry Field Definitions

Dealer Number

The dealer number uniquely identifies the dealer. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Branch Number

The branch number is the alphanumeric identifier assigned to the dealer branch (optional).

VISION - Dealer Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS

Dealer Information

Dealer: 0012345 TEST DEALER
27 MELCHER ST
BOSTON MA 02210-1516

Account Information

Total Assets: \$2,032,841,606.06		Total Accounts By Matrix Level:	
Open Accounts: 63	Level-0: 70	Level-3: 0	Level-4: 0
Closed Accounts: 7	Level-1: 0	Level-2: 0	

Order Summary Information

Net Orders: \$729,005.50

Total Orders: 3

Orders Older Than 30 Days: 0

Orders Older Than 60 Days: 0

Orders Older Than 90 Days: 3

Orders By Fund

Fund Name	Assets	Paid Purchase Orders	Unpaid Purchase Orders	Redemption Orders
CLIENT SERVICES MONEY MARKET FUND	\$0.00	\$0.00	\$0.00	\$0.00
CLIENT SERVICES LOAD TEST FUND	\$4,139,070.67	\$0.00	\$0.00	\$20,994.50
NO-LOAD FUND	\$1,844,313,939.06	\$0.00	\$750,000.00	\$0.00
CLIENT SERVICES LOAD FUND	\$144,934,102.80	\$0.00	\$0.00	\$0.00
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$65,434.83	\$0.00	\$0.00	\$0.00

Dealer Number:

Branch Number (Optional):

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

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Dealer Information window

Display Field Definitions

(Listed in window order.)

Total Assets

Displays the total dollar value of all assets. The assets are calculated by totaling the shares for each account associated with the dealer or dealer/branch and multiplying the sum by the previous day's net asset value.

Open Accounts

Displays the total number of open accounts for the dealer or dealer branch.

Closed Accounts

Displays the total number of closed accounts for the dealer or dealer branch.

Total Accounts by Matrix Level

Displays the total number of accounts at each matrix level for the dealer or dealer/branch. Account totals are displayed for five levels of dealer control:

Level 0 = non-networked broker account

Level 1 = broker control IRA margin account

Level 2 = customer name brokerage account

Level 3 = broker control brokerage account

Level 4 = fund controlled brokerage account

Net Orders

Displays the net dollar value of all current orders. The amount is calculated by totaling the purchase orders paid and unpaid and subtracting any outstanding redemption orders.

Total Orders

Displays the total number of outstanding orders for the dealer or dealer/branch.

Orders Older Than 30 Days

Displays unsettled orders that are more than 29 days old and less than 60 days old.

Orders Older Than 60 Days

Displays unsettled orders that are more than 59 days old and less than 90 days old.

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Orders Older Than 90 Days

Displays unsettled orders that are more than 89 days old.

Fund Name

Displays the full name of the fund.

Assets

Displays the total assets within the fund for the selected dealer or branch.

Paid Purchase Orders

Displays the gross dollar amount for all paid purchase orders on the Order Processing File.

Unpaid Purchase Orders

Displays the gross dollar amount for all outstanding purchase orders on the Order Processing File.

Redemption Orders

Displays the gross dollar amount for all outstanding redemption orders on the Order Processing File.

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Chapter 8:

Account Summary by Representative/Advisor Information

Account Summary by Rep/Advisor window

Account Summary by Rep/Advisor

Overview

The Account Summary by Rep/Advisor window provides summary information on a specific representative/advisor.

Procedures

1. Type the dealer number in the Dealer Number field.

Note: Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

2. Type the representative or advisor number in the Rep/Advisor Number field.

Note: Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

3. Click **Search**. The requested representative/advisor information will be displayed.

Entry Field Definitions

Dealer Number

This number identifies the dealer associated with the representative or advisor. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Rep/Advisor

This number uniquely identifies the representative/advisor. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

Fund	Number of Accounts	Shares	Balance	% of Balance
CLIENT SERVICES MONEY MARKET FUND	14	22,917,200	\$4,625,515.00	84
CLIENT SERVICES LOAD TEST FUND	10	930,476.00	\$12,189.19	00
NO-LOAD FUND	24	1,007,113,720	\$10,279,463.30	81
CLIENT SERVICES LOAD FUND	13	530,500	\$30,616.01	00
CLIENT SERVICES SPECIALIZED PORTFOLIOS	27	9,250,004,890	\$10,538,624,372.74	99.94
Totals	91	10,178,422,686.00	\$10,543,177,620.14	

Account Summary by Rep/Advisor window

Display Field Definitions

(Listed in window order.)

Fund

Displays the fund name.

Number of Accounts

Displays the number of open fund accounts managed by the representative/advisor.

Shares

Displays the combined number of shares corresponding to the account(s).

Balance

Displays the combined dollar value of all account(s).

% of Balance

Displays the approximate percentage of the representative/advisor's total managed balance represented by this fund. Only whole percentages are displayed. Anything under 1% will be displayed as 0%.

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Chapter 9:

Searching by Dealer Account (BIN)

Vision - Account Search By Dealer Account (BIN) - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Dealer Account (BIN)

Select a Fund

0000086 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Dealer Account (BIN):
Firm Number (Required):
Agent For Firm (Optional):

Search

Return To Menu Help

Account Search By Dealer Account (BIN) window

Account Search by Dealer Account

Overview

The Account Search by Dealer Account (BIN) window enables you to retrieve shareholder account information by dealer account number. You may retrieve accounts within a specific fund or across all funds in the fund family.

Procedures

Searching for and Retrieving Account Information

1. To specify search criteria, complete one of the following options:
 - If you have **dealer, dealer/branch, or dealer/representative level security**, complete the following steps:

- a. Type the dealer account number in the Dealer Account (BIN) field.
- b. Click the Search push button.

A list of shareholder accounts will appear.

- If you have **tax ID-level security** or **no security**, complete the following steps:
 - a. Type the dealer account number in the Dealer Account (BIN) field.
 - b. Type the firm number (also known as FINS) in the Firm Number field.
 - c. If the dealer account (BIN) has an agent-for-firm relationship, you may enter the agent's ID in the Agent for Firm field. An agent is also known as an executing dealer or correspondent firm. This field is optional.
 - d. Click the Search push button.

A list of shareholder accounts will appear.

2. To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Retrieving Accounts Across Funds

Searching For Accounts by Dealer Account Number

The Retrieve Accounts Across Funds check box will be selected by default. This check box enables you to retrieve information for accounts with the same dealer account number within a fund family. To search for an account by dealer in a specific fund only, complete the following steps:

1. Click the Retrieve Accounts Across Funds check box to remove the check mark.
2. Highlight the desired fund from the Select a Fund list box.
3. Complete the remaining fields as instructed in Searching for and Retrieving Account Information above.

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Account Text ID (SSN)	Fund Code Fund Name	Shareholder Registration	Shares/Balances
900000218 497-42-2623	34 CLIENT SERVICES MONEY MARKET FUND	JOHN P KELLER 7914 NW 76TH TER	153,690 \$ 2,979.64
4997 497-42-2623	97 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO. IRA R/O J PATRICK KELLER	35,353.5010 \$ 387,627.91
			Total Balance: \$ 390,607.55

Account Search By Dealer Account (BIN) window

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same dealer account number.

Dealer Account (BIN)

This number is used by the dealer to identify a client's account. Dealer account number is also referred to as broker identification number (BIN) or external account number.

Firm Number

This number is used to identify the firm. It is sometimes referred to as FINS, which stands for Financial Institution Numbering System. Depending on the security; this field may not be displayed.

Agent for Firm

The agent for firm identifies a dealer who has an agreement to process NSCC trades for another dealer. Agent for firm is also known as the executing dealer or

correspondent firm. This field is optional. Depending on the security, this field may not be displayed.

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

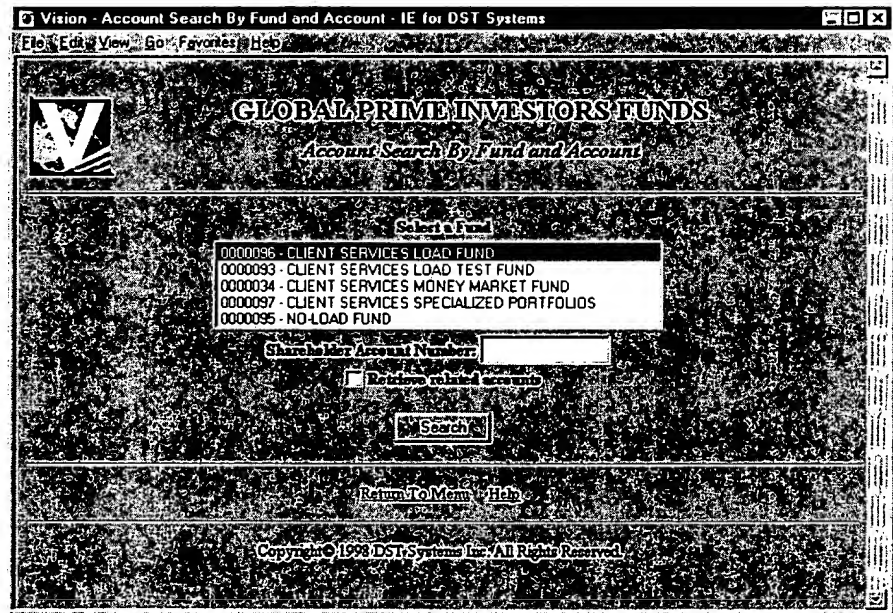
Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

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Chapter 10:

Searching by Fund and Account



Account Search By Fund and Account window

Account Search by Fund and Account

Overview

The Account Search by Fund and Account window enables you to retrieve shareholder account information by fund and account number. You may retrieve related accounts across all funds within that family of funds. The related account criteria is determined by the mutual fund company, and may vary between fund companies.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. Type the account number in the Shareholder Account Number field.

3. To retrieve related accounts across funds, select the Retrieve Related Accounts check box.
4. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Shareholder Account Number

Enter the shareholder's account number, as identified by the fund company.

Retrieve Related Accounts

When selected, all accounts related to the shareholder account entered will be retrieved. The fund company defines how accounts are related (for example, by tax ID number, ZIP code, or cumulative discount number).

Account Search By Fund and Account window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

Note: This search can display the Total Account Balance for a maximum of 200 accounts.

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Chapter 11:

Searching by Shareholder Name

Vision - Account Search By Shareholder Name - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS
Account Search By Shareholder Name

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Last Name: Keller

First Name (Optional):

Middle Initial (Optional):

State (Optional): You May Select a State

Search

Return To Menu Help

Account Search By Shareholder Name window

Account Search by Shareholder Name

Overview

The Account Search by Shareholder Name window enables you to retrieve shareholder account information by shareholder name. You may retrieve accounts across funds in the same fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. To retrieve information for accounts with the same shareholder registration across a fund family, select the Retrieve Accounts Across Funds check box.

3. Type the shareholder's last name in the Last Name field. At least two characters of the last name are required.
4. To further limit the search, complete one or more of the following optional fields:
 - Type the shareholder's first name in the First Name field.
 - Type the shareholder's middle initial in the Middle Initial field.
 - Select the shareholder's state from the State field drop-down list.
5. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder registration.

Last Name

This name is the shareholder's last name on the account registration. At least two characters of the last name are required.

First Name

This name is the shareholder's first name on the account registration. This field is optional.

Middle Initial

This initial is the first letter of the shareholder's middle name on the account registration. This field is optional.

State

This is the state listed on the shareholder's account registration. This field is optional.

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
0000000260 497-82-2325	34 CLIENT SERVICES MONEY MARKET FUND	PAT P KELLER 11812 AVILA DR	13.7440 \$ 262.31

Select a Fund

- 0000096 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Last Name: KELLER

First Name (Optional):

Account Search By Shareholder Name window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

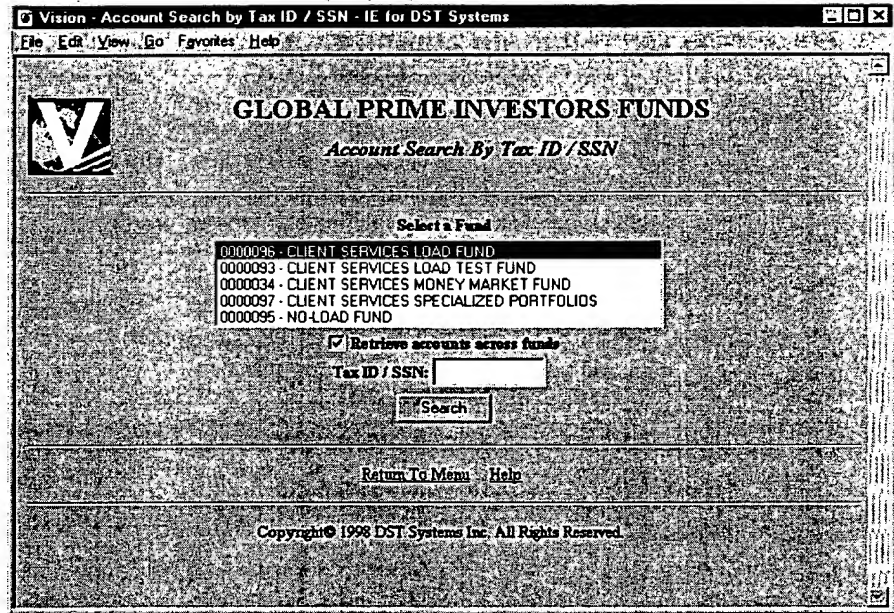
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Chapter 12:

Searching by Tax ID or Social Security Number



Account Search by Tax ID/SSN window

Account Search by Tax ID/SSN

Overview

The Account Search by Tax ID/SSN window enables you to retrieve shareholder account information by tax ID or Social Security number. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. The Retrieve Accounts Across Fund check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not want to retrieve a list of all accounts in the fund family that are related by tax

ID or Social Security number, select this check box again to remove the check mark.

3. Type the shareholder's tax ID or Social Security Number in the Tax ID/SSN field.

4. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

5. To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security number. This check box is selected by default.

Tax ID/SSN

This number uniquely identifies the shareholder. You may enter the shareholder's tax ID number or Social Security number.

Account Tax ID (SSN)	Fund Code	Fund Name	Shareholder Registration	Share Balance
0147 497822623	04	CLIENT SERVICES LOAD FUND	INVESTORY FIDUCIARY TRUST CO. CUST. FOR THE IRA OF	\$61,500
000000718 497822623	04	CLIENT SERVICES LOAD FUND	JOHN P. KELLER 7914 NW 70TH TER.	\$0.00
000000718 497822623	04	CLIENT SERVICES LOAD FUND	JOHN P. KELLER 7914 NW 70TH TER.	\$0.00
000000718 497822623	04	CLIENT SERVICES LOAD FUND	MARILYN B. KELLER JT/WROS	\$2,404
Total Balance:				\$63,904

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Tax ID/SSN: 497822623

Search

Return to Menu Back Home Help

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Account Search by Tax ID/SSN window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

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NOTES

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Chapter 13:

Searching by Representative or Advisor

Account Search By Rep/Advisor window

Account Search by Rep/Advisor

Overview

The Account Search by Rep/Advisor window enables you to retrieve shareholder account information by representative or advisor. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. The Retrieve Accounts Across Funds check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not

want to retrieve a list of all accounts in the fund family, select this check box again to remove the check mark.

3. Type the dealer number in the Dealer Number field. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.
4. Type either the representative or advisor number in the Rep/Advisor Number field. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.
5. The Tax ID + ZIP Code sort criteria is selected by default. To sort the returned list of accounts in a different order, select the desired button.
6. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same representative/advisor number.

Dealer Number

This number is used by the fund to identify the dealer. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Rep/Advisor Number

This number identifies the representative or advisor assigned to the account. Depending on your security level, this field may be pre-filled, or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

Tax ID + ZIP Code

When selected, this button causes the returned list of accounts to be displayed in tax ID and ZIP code order.

Cumulative Discount Number + ZIP Code

When selected, this radio button causes the returned list of accounts to be displayed in cumulative discount number and ZIP code order.

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Fund + Account Number

When selected, this button causes the returned list of accounts to be displayed in fund name and account number order.

Alphabetical by Name

When selected, this button causes the returned list of accounts to be displayed in alphabetical order by shareholder name.

GLOBAL PRIME INVESTORS FUNDS
Account Search By Rep/Advisor

(Please click on the account number of the account you wish to view)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder/Registration	Shares/ Balance
0000093 111-11111	06 CLIENT SERVICES LOAD FUND	KELLY HENNER 1234 LOCUST	113300 \$7724
0000093 112-11-0630	06 CLIENT SERVICES LOAD FUND	MARY C. BRADY 105 BROADWAY ST. FL 4	175000 \$990.02
0000093 222-22-2222	06 CLIENT SERVICES LOAD FUND	KATE KELLER 11812 AVILA DR	113300 \$772.57
			Total Balance: \$78,465.04

Select a Fund:

- 0000093 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Dealer Number: 11111

Rep / Advisor Number: 1234

Select Sort Criteria:

- ☐ Tax ID + ZIP Code
- ☐ Cumulative Discount Number + ZIP Code
- ☐ Fund + Account Number
- ☐ Alphabetical by Name

[Search]

[Return to Menu](#) [Disclaimer](#) [Help](#)

[E-Mail to Vision Support](#)

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Account Search By Rep/Advisor window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance Column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

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Chapter 14:

Shareholder Account Information

5 Vision - Shareholder Account Information - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Shareholder Account Information
Today's Date: 06/20/1999

Ticker: CSPAF CLIENT SERVICES SPECIALIZED PORTFOLIOS Fund Code: 97
CUSIP: CUSIP9700

Account: 5000000218 JOHN P. KELLER
Account History 7914 NW 76TH TER
KANSAS CITY MO 64152-4419

Total Shares:	384.9860	Date Established:	10/23/1998
Issued Shares:	0.0000	Last Maintenance:	10/19/1998
Unissued Shares:	384.9860	Dealer Name:	MIDWEST BROKERAGE
Reserve Shares:	120.0000	Dealer / Branch:	0011111/111
NAV per Share:	\$10.9700	Rep / Advisor Name:	
NAV as of Date:	06/29/1999	Dealer Account:	
Account Value:	\$4,223.30	Rep / Advisor Number:	1234
Net Pending (Reinvest)		Matrix Level:	0
Distribution Amount:	\$0.00	Alpha Code:	KELLEJOHNP
Net Pending (Cash)		Cumulative Discount Number:	0
Distribution Amount:	\$0.00	Letter of Intent Number:	000043203
Daily Dividend Accrual:	\$0.00		
Capital Gains: Reinvest			
Dividends: Reinvest			
Tax ID: 497-82-2623			

Account Options	Additional Information	Transactions
<ul style="list-style-type: none"> Audio Response Correspondence Pending Language English Telephone Exchange 	<ul style="list-style-type: none"> Account History Account Maintenance History CDSC Hypothetical Calculation Dealer Information Year End Summary 	<ul style="list-style-type: none"> Exchange

Return to Account List Last Update Help
E-Mail to Vision Support

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Shareholder Account Information window

Shareholder Account Information

Overview

The Shareholder Account Information window displays general account information and enables you to retrieve additional information relating to the account.

Procedures

1. View the displayed account information.
2. To view additional information about the account, click one of the highlighted links displayed under the 'Account Options' or 'Additional Options' at the bottom of the window. Account options that are not highlighted as a link indicate that the option is turned on for that account, but there is no additional information available to view.

Note: Displayed links will vary depending on the options established for the account.

3. The selected window will appear.

Link Definitions

Links are displayed under the 'Account Options' and 'Additional Options' headings at the bottom of the Shareholder Information page. Only links corresponding to options established on the account will appear.

Account History

Displays account transaction lists. This link is displayed in two separate areas of the Shareholder Information window, at the top of the page, and under the 'Additional Options' heading at the bottom of the page.

Account Maintenance History

Displays maintenance history for the account.

Additional Mail

Displays the full registration and additional mailing addresses associated with the account.

Average Cost

Displays initial and current cost basis information.

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Bank Instructions

Displays the routing number and address of the bank to which the shareholder account is linked as well as the account number, registration, and type.

Certificates

Displays certificate and status information about any issued certificates for the account.

CDSC Hypothetical Calculation

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.

Dealer Information

Displays account and order summary information by dealer.

Dividend Reinvestment

Displays registration and fund information for the "from" and "to" accounts involved in an automatic dividend reinvestment plan.

Fiduciary Account

Displays beneficiary and transaction information for the account.

Pending Trades

Displays transaction information for pending trades associated with the account.

Rights of Accumulation (ROA)

Displays group value amounts and information about accounts linked to the account

Systematic Agreement

Displays the calendar and redemption or purchase information for the systematic agreement.

Systematic Exchange

Displays calendar information and transaction settings for the systematic exchange.

09475637-123099

Year End Summary

Displays reporting, distribution, contribution, and form/tape status information.

Return to Account Lists

Returns to the Account List window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Total Shares

Displays the current share balance of the account.

Issued Shares

Displays the number of shares that are in certificate form.

Unissued Shares

Displays the number of shares in the account that do not have issued certificates.

Escrow Shares

Displays the number of escrow shares held in the account. Escrow shares are held in custody by the transfer agent, pending successful completion of a letter of intent (LOI). Usually, the escrow share amount is equal to five percent of the LOI dollar amount.

NAV Per Share

Displays the dollar value of one share of the fund. Value is determined by the formula $(\text{total assets} - \text{total liabilities}) / \text{total shares outstanding}$.

NAV as of Date

Displays the date the NAV (net asset value) was calculated.

Note: The NAV date is not necessarily the same as the current date.

Pending Distribution Amounts (Cash)

Displays the dollar amount of pending cash distributions. This field displays any of the following distribution types:

- cash income dividends

- cash short term capital gains
- cash long term capital gains
- any other miscellaneous cash distribution amounts.

Pending Distribution Amounts (Reinvest)

Displays the dollar amount of pending reinvestment distributions. This field displays any of the following distribution types:

- reinvest income dividends
- reinvest short term capital gains
- reinvest long term capital gains
- any other miscellaneous reinvestment distribution amounts.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

Daily Dividend Accrual

Displays the dividend amount that has accrued within the account since the last dividend payment. This applies to daily dividend funds only.

Capital Gains

Displays the method for distributing capital gains: reinvest or pay in cash.

Dividends

Displays the method for distributing dividends: reinvest or pay in cash.

Tax ID

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

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Date Established

Displays the date that the shareholder's account was established with the fund. If the last maintenance date displayed for the account is before the date established, the Date Established field will indicate the date the account was first funded.

Last Maintenance

Displays the most recent voluntary update to the file.

Dealer Name

Displays the dealer firm name.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Rep/Advisor Name

Displays the name of the representative on the account.

Rep/Advisor Number

Displays the number assigned to the dealer representative on the account.

Dealer Account

Displays the number used by the dealer to identify a client's account.

Matrix Level

Displays one of five values to indicate the level of dealer control:

- 0 = non-networked broker account
 - 1 = broker control IRA margin account
 - 2 = customer name brokerage account
 - 3 = broker control brokerage account
 - 4 = fund controlled brokerage account
-

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Alpha Code

Displays a shareholder's alpha code. An alpha code is a ten-character code that can be formatted in one of the following ways:

- the entire last name (up to ten characters) followed by as much of the first name as possible.
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial. If the first or last name does not have the required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

Cumulative Discount Number

Displays the cumulative discount (cum disc) number. A cumulative discount number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Letter of Intent Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

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NOTES

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Chapter 15:

Account Options

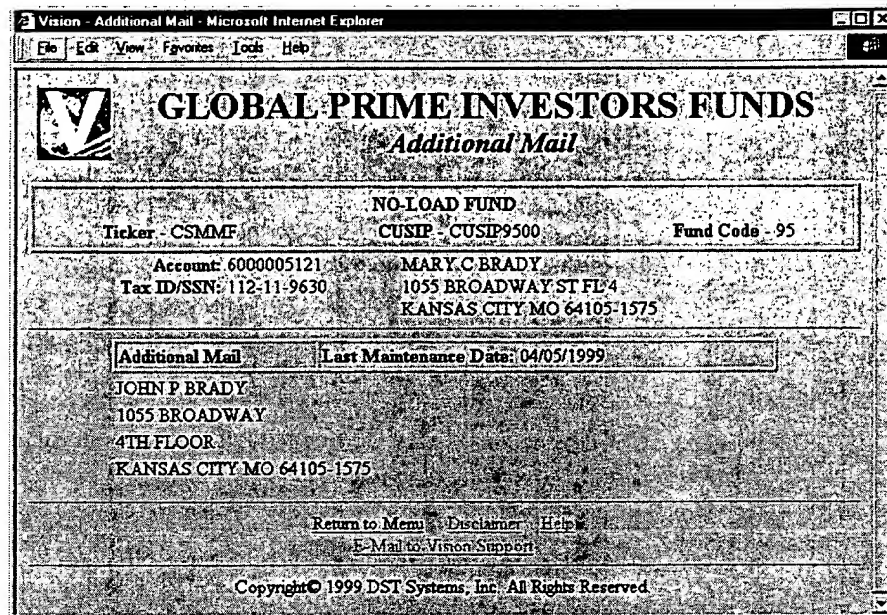
This chapter describes the following account options:

- Additional Mail
- Average Cost
- Bank Instructions
- Certificates
- Dividend Reinvest
- Fiduciary Information
- Pending Trades
- Rights of Accumulation
- Systematic Agreements
- Systematic Exchanges

These options are arranged in alphabetical order within this chapter.

Account Option links are displayed under the "Account Options" headings at the bottom of the Shareholder Information page. Only links corresponding to options established on the account will appear. Account options that are not highlighted as a link indicate that the option is turned on for that account, but there is no additional information available to view. For a definition of the non-highlighted account options contact your fund client services representative.

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Additional Mail window

Additional Mail

Overview

The Additional Mail window displays the mailing addresses associated with the account. The address on the shareholder's account registration is initially displayed. Additional mailing addresses are displayed in the lower portion of the window and are labeled by type (for example, dividend mailing or interested party).

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

XXX Mail

Displays a secondary mailing address associated with the account. The field title will indicate the type of address displayed (for example, additional mail or interested party).

Last Maintenance Date

Displays the most recent voluntary update to the account registration.

09475637-122099

GLOBAL PRIME INVESTORS FUNDS
Average Cost

NO-LOAD FUND	
Ticker: CSMMF	Fund Code: 95
Account: 6000005121	MARY C BRADY
Tax ID/SSN: 112-11-9630	1055 BROADWAY ST FL 4
	KANSAS CITY, MO 64105-1575

Initial Cost Basis		Current Cost Basis	
Cost Basis Amount:	\$0.00	Cost Basis Amount:	\$0.00
Shares:	0.0000	Shares:	0.0000
Cost Per Unit:	\$0.0000	Cost Per Unit:	\$0.0000
Status:	System	Status:	System
Report Average Cost:	Yes	Last Calculation Date:	
Last Maintenance Date:			
Effective From Date:	01/01/1999		

Return to Menu Esc/Menu Help
E-Mail to Vision Support

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Average Cost window

Average Cost

Overview

The Average Cost window displays initial and current cost basis information. If the average cost cannot be calculated due to pending shareholder information, the transaction which caused the pending status will be displayed.

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Initial Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The initial cost basis is as of the date in the Initial Cost Basis Effective From Date field.

Shares

Displays the number of shares that were in the account on the Effective From date.

Cost Per Unit

Displays the average cost per share when the transaction was processed.

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Status

Displays the account-level status at the time indicated by the Effective From date. One of the following statuses may be shown in this status field:

- shareholder supplied
- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- suspend: an adjustment is required because the number of shares found on the Voluntary Shareowner Account Master File does not equal the number of shares found on the Average Cost Shareowner Account Table. This discrepancy may be caused by a transfer or other transaction where cost per share was not indicated
- transfer agent supplied

Report Average Cost

Displays whether the shareholder will receive an average cost statement.

Last Maintenance Date

Displays the most recent voluntary update to the file.

Effective From Date

Displays the beginning date for which the account's history is available online. This is the date from which average cost statements and transcripts may be generated.

Current Cost Basis

Cost Basis Amount

Displays the dollar amount of the shareholder's investment for tax purposes. The current cost basis is as of the date in the Current Cost Basis Last Calculated Date field.

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Shares

Displays the number of shares in the account that were used to determine the current cost per unit.

Cost Per Unit

Displays the current average cost per share.

Status

Displays the account-level status. One of the following statuses may be listed in this field:

- shareholder supplied
- dealer supplied
- pending
- representative supplied
- system: the account has never had any manual adjustments made to it
- suspend: an adjustment is required because the number of shares found on the Voluntary Shareowner Account Master File does not equal the number of shares found on the Average Cost Shareowner Account Table. This discrepancy may be caused by a transfer or other transaction where cost per share was not indicated
- transfer agent supplied


Last Calculation Date

Displays the date on which the last average cost calculation occurred. This date may be the result of a request for an average cost statement or transcript or the result of a periodic calculation performed by the fund.

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Vision - Bank Instructions - Microsoft Internet Explorer

File Edit View Favorites Tools Help



GLOBAL PRIME INVESTORS FUNDS

Bank Instructions

Ticker - CSMMF Account: 6000005121 Tax ID/SSN: 112-11-9630	NO-LOAD FUND CUSIP - CUSIP9500 MARY C BRADY 1055 BROADWAY ST FL 4 KANSAS CITY MO 64105-1575	Fund Code - 95
---	--	-----------------------

Bank Name/Address COMMERCE BANK OF KANSAS CITY 10TH AND WALNUT KANSAS CITY, MO 64141-0000 <u>Bank Account Registration</u> MARY C BRADY	Routing: 101000019 Bank Account: 123456 Bank Account Type: Checking Transaction Type: ACH/Purchase
--	---

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Bank Instructions window

Bank Instructions

Overview

The Bank Instructions window displays the routing number and address of the bank to which the shareholder account is linked as well as the account number, registration, and type.

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's 'Back' button.

Link Definitions

Return to Menu

[Returns to the Management Company menu.](#)

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Routing

Displays the Federal Reserve's nine-digit routing identification number assigned to the shareholder's bank. The first four digits indicate the bank's Federal Reserve ID number; the second four digits indicate the American Banking Association (ABA) number; the last digit is the check digit.

Bank Account

Displays the bank account number of the shareholder's bank. This account is the one to which funds are wired (in the case of a redemption) or from which payments are drawn (in the case of a pre-authorized purchase).

Bank Account Type

Displays one of two values to indicate the type of bank account from which the purchase will be made or into which the redemption will be deposited:

- C = checking
- S = savings

Bank Name/Address

Displays the name and address of the shareholder's bank.

Bank Account Registration

Displays the complete name(s) to which the bank account is registered.

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Vision - Certificates - Microsoft Internet Explorer

File Edit View Favorites Tools Help

http://www.visioninvestors.com/

GLOBAL PRIME INVESTORS
Certificates

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVT CUSIP - 226300101 Fund Code - 28

Account: 8741 DEBBIE LOPEZ
Tax ID/SSN: 486-80-1964 503 PACIFIC DRIVE
BELTON MO 64012-2935

Prefix	Certificate #	Shares	Issued	Stopped	Cancelled	Replacement #	Status
LD	0006941	70 0000	04/29/1997				Issued

Return To Menu Help

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Certificates window

Certificates

Overview

The Certificates window displays certificate and status information about any issued certificates for the account.

Procedures

1. View the displayed information.
2. To return to the Account List window, select the Return to Account List link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Prefix

Displays the three-character preface to the certificate number.

Certificate

Displays the certificate identification number associated with the issued certificate.

Shares

Displays the number of shares corresponding to the certificate.

Issued

Displays the month, day, and year on which the certificate was issued.

Stopped

Displays the month, day, and year on which the certificate was stopped because it was reported as lost or not received.

Canceled

Displays the month, day, and year on which the certificate was deposited to the shareholder's account.

Replacement

Displays the new certificate number, if the certificate has been replaced with a new certificate.

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Status

Displays one of the following certificate status values:

- **Issued** = the certificate is in issued form
- **Stopped** = the certificate has been reported as lost
- **Canceled** = the certificate has been deposited to the shareholder's account
- **Replaced** = a previously "stopped" certificate has been replaced

Vision - Dividend Reinvestment - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Global Prime Investors Funds
Dividend Reinvestment

28 GOVERNMENT BOND FUND
Ticker: GBFX CUSIP: 226300101 Fund Code: 28

Account: 778
Tax ID/SSN: 987-80-1964
Plan Type: IRA
Classification: Employee Account

CGTC TRUSTEE
DEBBIE JONES IRA
TORA TESTING DO NOT USE
503 PACIFIC DR
WELTON MO 64012-2935

Reinvested To Fund: 65 GROWTH & INCOME FUND
Reinvested To Account: 778

Registration: CGTC TRUSTEE FOR
CARL J JONES
TEST A/C FOR IMAGING/AWD
666 COUNTRY MANOR
PENNSYLVANIA 6-5000

Plan Type: IRA
Classification: Employee Account

[Return To Menu](#) [Help](#)

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Dividend Reinvestment window

Dividend Reinvestment

The Dividend Reinvestment window displays registration and fund information for the "from" and "to" accounts involved in an automatic dividend reinvestment plan.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu window, select the Return to Menu link.

Link Definitions

Return to Menu

Returns to the Management Company Menu window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's "from" account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account.

Plan Type

Displays the type of investment plan associated with the "from" account.

Classification

Displays one of the following classifications for the "from" account:

- control account
 - employer account
 - owner/employer account
 - employee account
-

Reinvested to Fund

Displays the fund information to which dividends are reinvested.

Reinvested to Account

Displays the account number to which dividends are reinvested.

Registration

Displays the complete shareholder registration of the "to" account. This information is retrieved from the Voluntary Shareowner Master File (A87).

Plan Type

Displays the type of investment plan associated with the "to" account.

Classification

Displays one of the following classifications for the "to" account:

- control account
 - employer account
 - owner/employer account
 - employee account.
-

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VISION - Fiduciary Information - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS
Fiduciary Information

28 MEB FUND - MIRRORS GVT FUND 22

Ticker: MGVTIF CUSIP: 226300101 Fund Code: 28

Account: 778
Tax ID/SSN: 987-80-1964

CGTC TRUSTEE
DEBBIE LOPEZ IRA
TORA TESTING DO NOT USE
503 PACIFIC DR
WELTON MO 64012-2935

Planholder Birthdate: 12/25/1933
Planholder Marital Status: Married
Plan Type: IRA
Classification: Employee Account

Primary Beneficiary	Name	Secondary Beneficiary
DADDY JONES		
	Address	
	City/St/Zip	
DAD	Relationship	
000-00-0000	Tax ID	000-00-0000
	Birthdate	
	Designated Date	

Current Year YTD Employer Contribution:	\$0.00
Current Year YTD Employee Contribution:	\$0.00
Prior Year YTD Employer Contribution:	\$0.00
Prior Year YTD Employee Contribution:	\$0.00
Inception to Date Employer Contribution:	\$750.00
Inception to Date Employee Contribution:	\$356,097.59
Year to Date Capital Gains:	\$29,497.39
Year to Date Dividends:	\$47,307.86
Inception to Date Capital Gains:	\$210,348.80
Inception to Date Dividends:	\$157,791.09
Year to Date Nontaxable Withdrawals:	\$0.00
Year to Date Taxable Withdrawals:	\$100.00
Year to Date Withholdings:	\$0.00
Inception to Date Nontaxable Withdrawals:	\$355,006.66
Inception to Date Taxable Withdrawals:	\$16,286.00
Inception to Date Withholdings:	\$1,059.00

Return To Menu Help

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Fiduciary Information window

Fiduciary Information

Overview

The Fiduciary Information window displays beneficiary and transaction information for the account.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu, select the Return to Menu link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Planholder Birthdate

Displays the shareholder's date of birth.

Planholder Marital Status

Displays the shareholder's marital status. The status may be:

- married
 - single
-

Plan Type

Displays the account type. The account type may be:

- Keogh
- benefit
- IRA
- spousal IRA
- deferred
- SEP IRA
- deferred 403B

- 401K

Classification

Displays the contribution classification of the account. The classification may be:

- control account
- employer account
- own employee
- employee account

Primary Beneficiary

Displays the primary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the primary beneficiary was designated as such.

Secondary Beneficiary

Displays the secondary beneficiary's name, mailing address, relationship, tax identification number, and date of birth. This field also displays the date on which the secondary beneficiary was designated as such.

Current Year YTD Employer Contribution

Displays the current year-to-date contributions made by the employer.

Current Year YTD Employee Contribution

Displays the current year-to-date contributions made by the employee.

Prior Year YTD Employer Contribution

Displays the year-to-date contributions made by the employer for the previous year.

06000000 20000000

Displays the year-to-date contributions made by the employee for the previous year.

Displays the inception-to-date contributions made by the employer.

Displays the inception-to-date contributions made by the employee.

Displays the year-to-date capital gains earned.

Displays the year-to-date dividends earned.

Displays the total capital gains earned since the inception of the account.

Displays the total dividends earned since the inception of the account.

Displays the year-to-date nontaxable withdrawals made from the account.

Displays the year-to-date taxable withdrawals made from the account.

Displays the year-to-date withholdings on the account.

Displays the nontaxable withdrawals made from the account since its inception.

Displays the taxable withdrawals made from the account since its inception.

Displays the withholdings on the account since its inception.

Pending Trades window

Pending Trades

Overview

The Pending Trades window displays transaction information for pending trades associated with the account.

Procedures

1. View the displayed information.
2. To return to the Account List window, select the Return to Account List link.
3. To return to the Shareholder Account Information window, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

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Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Trade Description

Displays a description of the transaction.

Trade Date

Displays the date on which the transaction was priced.

Shares

Displays the number of shares involved in the transaction.

Net Amount

Displays the dollar amount of the transaction less commission.


Gross Dollars

Displays the total dollar amount of the transaction.

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SECRET

2 Vision - Rights of Accumulation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Rights of Accumulation

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVTF CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Cumulative Discount Number: 115567

Group Value Amount: \$21,234,495.53

Net ROA Amount: \$21,234,395.53

Open Accounts: 12

Total Accounts: 14

Fund	Valuation	Relationship	
28 MFB FUND - MIRRORS GVT FUND 22	\$21,088,161.02	Cumulative	Account List
65 MFB FUND - MIRRORS DTC FUND 03	\$32,723.08	Cumulative	Account List
67 MFB FUND - MIRRORS DTC FUND 09	\$41,411.82	Associative + Cumulative	Account List
68 MFB FUND - MIRRORS TEBF FUND 68	\$72,199.61	Cumulative	Account List

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Rights of Accumulation window

Rights of Accumulation

Overview

The Rights of Accumulation window displays group value amounts and information about accounts linked to the account.

Procedures

1. View the displayed information.
2. To view a list of accounts associated with a fund, click the Account List link to the right of the desired fund.
3. To return to the Management Company Menu, select the Return to Menu link.
4. To return to the Shareholder Account Information page, click the browser's Back button.

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Link Definitions

Account List

Displays a scroll box of account numbers associated with a fund.

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Cumulative Discount Number

Displays the cumulative discount (cum disc) number. A cumulative discount number links shareholder accounts to provide purchase discount pricing and for group reporting purposes.

Group Value Amount

Displays the total value of all mutual fund accounts associated with the cumulative discount group number.

Net ROA Amount

Displays the total dollar value of all cumulative shares on which a commission has been paid.

Open Accounts

Displays the total number of open accounts linked for rights of accumulation.

Total Accounts

Displays the total number of accounts linked for rights of accumulation.

Fund

Displays the information for a fund containing accounts associated with the cumulative discount group number.

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Displays the total value of all accounts in the fund associated with the cumulative discount group number.

Displays one of the following values:

- **Cumulative:** Indicates that commissions have been paid on 100% of the total valuation of the accounts in the cumulative discount account group.
- **Associated:** Indicates that commissions have been paid on less than 100% of the total valuation of the accounts in the cumulative discount account group.

Vision - Systematic Agreements - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Systematic Agreements

Ticker: CSMMF NO-LOAD FUND CUSIP: CUSIP9500 Fund Code: 95

Account: 6000005121 MARY C BRADY
Tax ID/SSN: 112-11-9630 1055 BROADWAY ST FL 4
KANSAS CITY MO 64105-1575

ACH Purchase: \$50.00
Start Date: 04/01/1999
Stop Date:
Processing Date(s): 30
Fiduciary Purchase Type: N/A
Confirm Frequency: Always

Month	Processed	Contribution	Year	Month	Processed	Contribution	Year
January	Yes	N/A		July	Yes	N/A	
February	Yes	N/A		August	Yes	N/A	
March	Yes	N/A		September	Yes	N/A	
April	Yes	N/A		October	Yes	N/A	
May	Yes	N/A		November	Yes	N/A	
June	Yes	N/A		December	Yes	N/A	

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Systematic Agreements window

Systematic Agreements

Overview

The Systematic Agreements window displays the calendar and redemption or purchase information for the systematic agreement.

Procedures

1. View the displayed information.
2. To return to the Management Company menu, click on the Return to Menu link.
3. To return to the Shareholder Account Information page, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Check

Displays the dollar amount of the systematic agreement for a redemption check.

ACH Purchase

Displays the dollar amount of the systematic agreement for an ACH purchase.

ACH Redemption

Displays the dollar amount of the systematic agreement for an ACH redemption.

Start Date

Displays the month, date, and year on which the systematic agreement was started.

Stop Date

Displays the day, month, and year on which the systematic agreement will end.

Processing Date(s)

Displays the day(s) of the month on which a systematic agreement will be processed.

Fiduciary Purchase Type

Displays the specified purchase contributor for all systematic purchases into a fiduciary account. The contributors are:

- **employee** = employee contribution
- **employer** = employer contribution

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Confirm Frequency

Displays how often statements are sent to confirm systematic purchases into the account.


Month/ Processed/ Contribution Year

Displays Yes, No, or Defer for each month of the year, indicating whether the account is set up for monthly purchases into the account.

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Vision - Systematic Exchange - Microsoft Internet Explorer

File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS**
Systematic Exchange

28 MFB FUND - MIRRORS GVT FUND 22

Ticker: MGVTF CUSIP: 226300101 Fund Code: 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Exchange To Fund: 28 MFB FUND - MIRRORS GVT FUND 22
Exchange To Account: 8741

Exchange Option: Dollar Amount	Month	Processed	Contribution Year
Exchange Value: \$50.00	January	Yes	N/A
Processing Date(s): 15/30	February	Yes	N/A
Deduct Fee: No	March	Yes	N/A
Payment Type:	April	Yes	N/A
Discount Category: 99	May	Yes	
Established Date: 05/28/1998	June	Yes	
Financial Redemption Type: Not Applicable	July	Yes	
	August	Yes	
	September	Yes	
	October	Yes	
	November	Yes	
	December	Yes	

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Systematic Exchange window

Systematic Exchange

Overview

The Systematic Exchange window displays calendar information and transaction settings for the systematic exchange.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu, select the Return to Menu link.
3. To return to the Shareholder Account Information page, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Exchange To Fund

Displays the fund information to which the exchange will be processed.

Exchange To Account

Displays the account number to which the exchange will be processed.

Exchange Option

Displays the type of exchange. The exchange may be:

- dollar amount
 - rate
 - share count
 - declining balance
 - life expectancy float
 - life expectancy fixed
-

Exchange Value

Displays the amount of the exchange. This amount may be displayed as a dollar amount, percent, share amount, or declining balance amount, depending on the exchange option.

Processing Date(s)

Displays the day of the month on which the exchange will be processed.

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Deduct Fee

Displays "Yes" if a fee is charged for the exchange. Displays "No" if no fee is charged.

Payment Type

Displays the type of payment for a CDSC fund. Payment may be:

- gross
 - net
 - no sales charge
-

Discount Category

Displays the price break a shareholder will receive on new shares purchased.

Established Date

Displays the date on which the systematic exchange plan was established.

Fiduciary Redemption Type

Displays the specified purchase contributor for all exchange relationships from a non-fiduciary account to a fiduciary account. The purchase contributor may be:

- employee
 - employer
 - not applicable
-

Month — Processed — Contribution Year

Displays Yes, No, or Defer for each month of the year, indicating whether the account is set up for monthly exchanges out of the account.

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Additional Account Information

- Account Maintenance History
- CDSC Hypothetical Calculation
- Shareholder Account History
- Year-End Summary

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Vision - Maintenance History - IE for DST Systems

File Edit View Go Favorites Help

GLOBAL PRIME INVESTORS FUNDS
Account Maintenance History

Ticker: CSMMF NO-LOAD FUND
CUSIP: CUSIP9500 Fund Code: 95

Account: 9000065233
Tax ID/SSN: 474-92-4417

SEATTLE FIRST NATL BANK CUST
IRA RONALD KELLERMAN
416 UNION STREET
NORTHFIELD MN 55057

Maint Date	Batch Number	Field Name	Previous Field Value	Current Field Value
06/06/1995	0010895	EXPEDITED-ACCT	N	Y
06/06/1995	0010895	ACH-FLAG	N	Y

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Maintenance History window

Account Maintenance History

Overview

The Account Maintenance History window displays maintenance history for the account.

Note: There may be times when you receive a message that no maintenance history records are found for the account. There also may be times when the last maintenance date is listed as being prior to the established date of the account. These conditions occur when an account is established without an initial purchase (the purchase is received at a later date). In these situations, the Maintenance Date field will indicate the original established date for the account. The Establish Date field will indicate the date on which the account initially was funded.

Procedures

1. View the displayed information.
2. To return to the Management Company Menu, select the Return to Menu link.
3. To return to the Shareholder Account Information page, click on the browser's Back button.

Link Definitions

Return to Menu

Returns to the Management Company Menu.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Maint Date

Displays the month, day, and year on which updates that did not affect the share or cash balance were made to the account.

Batch Number

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Field Name

Displays the name of the field that was updated.

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Previous Field Value

Displays the value of the specified field before the maintenance transaction was processed.

Current Field Value

Displays the value of the specified field after the maintenance transaction was processed.

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Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Description

Displays a description of the transaction, such as the year of the transaction or the transaction type.

Transaction Sequence #

Displays a number indicating the sequence in which the transaction was processed.

Confirmation Date

Displays the month, day, and year on which the transaction was processed.

Transaction ID

Displays the transaction code and suffix. The transaction code and suffix allows a fund to define the specific transaction type for the displayed transaction.

Trade Date

Displays the trade date assigned to the specified transaction. This date is the effective date of the transaction and may or may not be equal to the confirmation date. For financial transactions, this is the date used to determine the share price.

Batch #

Displays either the data entry number used to group like items together or displays the system-generated batch number assigned to the transaction.

Price

Displays the price per share that corresponds to the transaction record.

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Schedule

Displays whether the transaction occurred before noon ("AM") or after noon ("PM").

Amount

Displays the total dollar amount of the transaction.

Discount Cat

Displays the price break a shareholder will receive on new shares purchased.

Shares

Displays the number of shares corresponding to the transaction.

Cert

Displays whether a certificate was issued for the transaction.

Share Balance

Displays the total share balance of the shareholder's account after the transaction.

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Vision - CDSC Hypothetical Calculation - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker - CSPAF CUSIP - CUSIP9700 Fund Code - 97

Account: 6000005096 PAT R KELLER
Tax ID/SSN: 333-11-1223 1055 BROADWAY ST FL 8
KANSAS CITY MO 64105-1575

Total Shares: 18.2480
Account Value: \$200.18

Use the partial redemption method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.

Use the full redemption method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).

Use gross to have the CDSC fees taken out of the amount specified.

Use net to add the CDSC fees to amount redeemed.

☐ Partial Redemption or ☐ Full Redemption

☐ Gross or ☐ Net

☐ Dollars or ☐ Shares

Redemption Amount:

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CDSC Hypothetical Calculation window

CDSC Hypothetical Calculation

Overview

The CDSC Hypothetical Calculation window displays information on contingent deferred sales charge (CDSC) fees for a redemption from the account. Displayed fees are for informational purposes only, and entries on this window will not initiate a redemption transaction.

Procedures

1. Select the following button options to specify the method by which to calculate hypothetical CDSC fee information:
 - To redeem all shares in the account, click the Full Redemption button. Otherwise, the Partial Redemption button will be selected by default and you will be able to enter the number of shares or dollars to be redeemed.
 - To add the CDSC fees to the share/dollar amount redeemed, click the Net button. Otherwise, the Gross button will be selected by default and CDSC fees will be subtracted from the redemption amount you specify.

If you selected the Partial Redemption button:

- To specify a share amount to be redeemed, click the Shares button. Otherwise, the Dollars radio button will be selected by default.
2. If you selected the Partial Redemption button, type the redemption amount (in shares or dollars, as appropriate) in the Redemption Amount field.
 3. Click the Calculate push button. The fee amount will be calculated and displayed in the upper portion of the window.

Entry Field Definitions

Redemption Amount

If hypothetical fees are being calculated on a partial redemption, the Redemption Amount field must be completed.

- If the Dollars button is selected, enter the dollar amount of the redemption. Enter whole dollar amounts only.
- If the Shares button is selected, enter the number of whole shares to be redeemed.

Link Definitions


CDSC Fee Description

Displays CDSC information specific to the fund family.

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Vision - CDSC Hypothetical Calculation - Microsoft Internet Explorer

File Edit View Favorites Tools Help



GLOBAL PRIME INVESTORS FUNDS

CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS

Ticker - CSPAF

CUSIP - CUSIP9700

Fund Code - 97

Account: 6000000034
Tax ID/SSN: 111-22-3333

JOHN A SMITH
JOAN B SMITH JTWROS
1055 BROADWAY ST FL 8
KANSAS CITY MO 64105-1575

Total Shares: 87.9280
Account Value: \$1,679.42

(Actual shares available for redemption may be less)

Amounts are calculated using the previous business day's price.

Redeemed Dollars: \$500.00
Redeemed Shares: 48.1230
NAV Per Share: \$10.3900
CDSC Fee: \$4.50
Free Money: \$0.00
Net Redemption Amount: \$495.50

*Please note: The calculated net redemption amount does NOT include IRS back-up withholding. Please contact a fund representative to determine any applicable withholding amounts.

Contingent Deferred Sales Charge (CDSC) hypothetical calculation is one of the new features of Vision, which enables a user to determine the potential sales charge levied for a particular account with a given redemption amount from a CDSC fund. The CDSC hypothetical calculation will allow full or partial redemption calculations, and will display net asset value (NAV), CDSC fee amount, free money, and the redemption proceeds to the shareholder. Partial redemptions can be calculated at gross or net and can be entered as dollars or shares. All calculations are based on the previous business day's NAV. Free money is the dollar amount currently available for redemption without incurring a sales charge.

Use the partial redemption method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.

Use the full redemption method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).

Use gross to have the CDSC fees taken out of the amount specified.

Use net to add the CDSC fees to amount redeemed.

☐ Partial Redemption or ☐ Full Redemption

☐ Gross or ☐ Net

☐ Dollars or ☐ Shares

Redemption Amount:

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CDSC Hypothetical Calculation window

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redeemed Dollars

Displays the total dollar value of the redemption.

Redeemed Shares

Displays the total share amount of the redemption.

NAV Per Share

Displays the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

CDSC Fee

Displays the total CDSC fee charged to the redemption.

Free Money

Displays the amount of money in the account that is not subject to CDSC fees.

Check Amount

Displays the total dollar amount that would be issued to the shareholder. (If the Gross redemption option was selected, this amount will be less any CDSC fees.)

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Year End Summary

Vision - Year End Summary - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS
1998 Year End Summary

28 MFB FUND - MIRRORS GVT FUND 22

Ticker - MGVIFF CUSIP - 226300101 Fund Code - 28

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 499-70-4453 507 PACIFIC DR
BELTON MO 64012-2935

Reporting Type: Domestic 1099DIV	Dividend Income: \$504,279.38
Estimated Account Value: \$3,156,957.71	Taxable Income: \$224,034.51
Average Assets: \$0.00	Non-taxable Income: \$230,375.60
Foreign Tax Rate: 0.0%	Long Term Cap Gains: \$212,153.35
Foreign Tax Paid: \$0.00	Short Term Cap Gains: \$49,869.27
	Section 1250 Cap Gains: \$0.00
	Cap Surplus: \$0.00
	Investment Expense: \$0.00

Distributions	Contributions
Gross: \$716,432.73	IRA (Current Year): \$0.00
Non-tax: \$0.00	Employee (Current Year): \$0.00
Premature: \$0.00	IRA (Tax Year): \$0.00
Pre-Exempt: \$0.00	Conversion Roth: \$0.00
Disability: \$0.00	Employee (Tax Year): \$0.00
Death: \$0.00	Employer (Tax Year): \$0.00
Prohibited: \$0.00	Employer (Current Year): \$0.00
Normal: \$0.00	Employer Salary Reduction (Tax Year): \$0.00
Excess: \$0.00	Employer Salary Reduction (Current Year): \$0.00
Simple IRA: \$0.00	Rollover: \$0.00
Education IRA: \$0.00	5498 IRA: \$0.00
Loan Default: \$0.00	5498 SEP/Simple: \$0.00

Withholdings	Reallocations
Dividend: \$0.00	Dividend Income: \$0.00
Redemption: \$0.00	Long Term Cap Gains: \$0.00
Foreign: \$0.00	Short Term Cap Gains: \$0.00
	Section 1250 Cap Gains: \$0.00
	Cap Surplus: \$0.00

Form Status	Tape Status
1099DIV: Not Created	Not Created
1099INT: Not Created	Not Created
1042S: Not Created	Not Created
5498: Not Created	Not Created
1099B: Not Created	Corrected

1997 Year End Summary 1998 Year End Summary

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Year End Summary

This function allows the operator to view information pertaining to fiduciary and non-fiduciary tax reporting for the current and prior tax year including the status of the various IRS forms, distribution information, IRS withholding, and foreign withholding.

Display Field Definitions

Account

Displays the shareholder's account number, as identified by the fund company.

Account Value as of XX/XX/XXXX

Displays the total market value of the account as of the date shown. This field displays when "Prior Tax Year" was selected on the previous window.

Average Assets

Displays the average assets for the account for the taxable year.

Cap Surplus

Displays the capital surplus amount as

- the total from the capital surplus category on the Year End Fund/Account Totals File, or
- the total from the reallocated capital surplus category on the Year End Fund/Account Totals File

This field may display both an original amount and a reallocated amount. A minus sign (-) displays next to any negative amount. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation.

Dividend Income

Displays the ordinary income reported in Box 1B of the 1099-DIV tax form.

Estimated Account Value

Displays the total market value of the account for the current tax year. This field displays when "Current Tax Year" was selected on the previous window.

Foreign Tax Paid

Displays the total from the foreign tax credit category on the Year End Fund/Account Totals File. This amount should equal the amount displayed under "Foreign tax paid" on both the 1099-DIV form for domestic accounts and on the 1099-INT form.

Foreign Tax Rate

Displays the foreign tax rate that should be withheld from dividend and capital gains distributions paid to a foreign account. This rate is taken from the Voluntary Shareowner Account Master File (A87) on December 31 of the taxable year.

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Investment Expense

Displays the fund expense amount on the Year End Fund/Account Totals File. On the 1099-DIV form, the amount displayed should equal the amount under investment expense.

Long-Term Cap Gains

Displays the long-term capital gains paid per share.

Non-Taxable Income

Displays the non-taxable reallocated income dividend amount from the Year End Year to Date Account Totals file.

Reporting Type

Displays the plan type. Plan types are:

- Foreign 1099
 - Foreign 1042S
 - Foreign Fiduciary-Non-IRA
 - Foreign IRA
 - Domestic 1099
 - Domestic 1042S
 - Domestic Fiduciary-Non-IRA
 - Domestic IRA
-

Return to Menu

Returns to the Management Company menu.

Section 1250 Cap Gains

Displays the section 1250 capital gains paid per share.

Short-Term Cap Gains

Displays the short-term capital gains paid per share.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security Number or an employer identification number.

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Taxable Income

Displays the taxable income dividend amount from the Year End Year to Date Account Totals file.

Distributions

Death

Displays the total in the death distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Disability

Displays the total in the disability distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Education IRA

Displays the total amount of distributions from an educational IRA account in the tax year.

Excess

Displays the total in the excess distributions category on the Year End Fund/Account Totals File. This amount appears on the 1099-R form.

Gross

Displays the gross dollar amount determined by the type of 1099 form:

- 1099-DIV—displays the amount under “Gross dividends and other distributions” for domestic accounts. The 1099-DIV amount should equal the sum of the following amounts: ordinary income + long-term capital gains + capital surplus (including the non-taxable income dividends).
 - 1099-INT—displays the amount under “Earnings from Savings and Loan”.
 - 1042S—displays the “Gross amount of income paid”.
-

Loan Default

Displays the total amount of distributions from an account as a result of a loan default during the tax year.

Non-Tax

Displays the non-taxable dividends from reallocated income. This amount comes from the Year End Fund/Account Totals File. Taxable income is the total from the reallocated surplus and the non-taxable income dividend categories on the Year End Fund/Account Totals File.

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Note: On the 1099-DIV form, the amount displayed should equal the amount under "Non-Taxable Distributions" for domestic accounts. There is no original non-taxable income dividend amount. Non-taxable income dividends can be obtained only through reallocation. Only a reallocated amount is possible for this field. A minu sign (-) will appear next to any negative amount.

Normal

Displays the total in the normal distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Premature

Displays the total in the premature distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Pre-Exempt

Displays the total amount of life-expectancy withdrawals from fiduciary accounts. Life-expectancy withdrawals taken by shareowners under age 59½ are not subject to the taxes normally imposed on a redemption made to an individual under age 59½.

Prohibited

Displays the total in the prohibited distributions category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R form.

Simple IRA

Displays the total amount of premature taxable distributions from a Simple IRA in the tax year. A premature distribution is a distribution made to an individual who is not yet 59½ years old from an account less than two years old.

Contributions

Conversion Roth

Displays the total contributions that were rolled from another retirement type account into a Conversion ROTH IRA for the tax year.

Employee (Current Year)

Displays the non-IRA contributions made by the employee for the current year. This amount is reported on the 5498 tax form.

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Employee (Tax Year)

Displays the non-IRA contributions made by the employee between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer (Current Year)

Displays the SEP employer contributions made in the current year that apply to the current tax year.

Employer (Tax Year)

Displays the non-IRA contributions made by the employer between January 1 and April 15 to be applied to the previous tax year's contributions. This amount is reported on the 5498 tax form.

Employer Salary Reduction (Current Year)

Displays the contributions taken from employer salary reduction plans made in the account for the current year.

Employer Salary Reduction (Tax Year)

Displays the contributions taken from employer salary reduction plans made in the account for the tax year.

5498 IRA

Displays the contributions for an 5498 IRA account. This field is calculated from fields in the Year End (B83) file as follows:

IRA-CONTRIBUTIONS-TAX-YEAR+ IRA-CONTRIBUTIONS-CURR-YEAR+
SEP-EMPLOYEE-CONTR-TAX-YEAR+ SEP-EMPLOYEE-CONTR-CURR-YEAR =
5498-IRA-AMT

5498 SEP/Simple

Displays the amount of contributions for an 5498 SEP/Simple IRA account. This field is calculated from fields in the Year End (B83) file as follows:

SEP-EMPLYR-CONT-TAX-YR-AMT+ SEP-EMPLYR-CONT-CUR-YR-AMT+ SEP-
ER-SAL-RED-TAX-YR-AMT+ SEP-ER-SAL-RED-CUR-YR-AMT = 5498-SEP-
SIMPLE-AMT

IRA (Current Year)

Displays the totals from the IRA Contributions, Current Year category on the Year End Fund/Account Totals File.

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IRA (Tax Year)

Displays the totals from the IRA Contributions, Taxable Year category on the Year End Fund/Account Totals File.

Rollover

Displays the total rollover contributions category from the Year End Fund/Account Totals File. This amount will appear on the 5498 form as "Rollover IRA Contributions."

Withholdings**Dividend**

Displays the total in the dividend withholding category on the Year End Fund/Account Totals File. This amount is reported on the 1099-DIV form under Federal Income Tax Withheld.

Foreign

Displays the accumulated total of nonresident alien (NRA) withholdings for foreign shareholders. This amount equals the foreign tax rate multiplied by the total dividend distributions.

Redemption

Displays the total in the redemption withholding category on the Year End Fund/Account Totals File. This amount will appear on the 1099-R in the following boxes:

- Box 1 = Gross Distributions
 - Box 2 = Taxable Amount (distribution category of "3")
-

Reallocations**Cap Surplus**

Displays capital surplus that has been reallocated due to Fund error.

Dividend Income

Displays income dividends that have been reallocated due to Fund error.

Long-Term Cap Gains

Displays long-term capital gains that have been reallocated due to Fund error.

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Section 1250 Cap Gains

Displays Section 1250 capital gains that have been reallocated due to Fund error.

Short-Term Cap Gains

Displays short-term capital gains that have been reallocated due to Fund error.

Form/Tape Status

Form/Status

Displays the status of each of the listed forms. A form may be:

- not created
- produced
- corrected
- zeroed

Tape/Status

Displays the status of each of the listed tapes. A tape may be:

- not created
 - produced
 - corrected
 - zeroed
-

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PRINT OF DRAWINGS
AS ORIGINAL FILED

Vision

Vision Mutual Fund Gateway®

Training Guide

Transactions

November 1999

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November 1999

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Introduction

What is Vision?

DST's Vision Mutual Fund Gateway is an interactive Web site, located at <http://www.dstvision.com> (<http://www.dstvision128.com>), that provides financial intermediaries, such as broker/dealers and financial advisors, the ability to access fund, shareowner account, and dealer information in a real-time environment, through the Internet. Information such as shareowner positions, account options, transaction histories, fund pricing and yields are some of the features available through Vision. With proper authorization, Vision also allows the financial intermediary to execute transactions such as exchange, redemption, and subsequent purchase.

Vision Transaction enables financial intermediaries such as broker/dealers, registered representatives, and financial advisors to process:

- subsequent purchase transactions into an existing account through Automated Clearing House (ACH)
- redemption transactions to shareholder's bank through ACH or check to the address of record
- exchange transactions between existing accounts within the same fund family or from an existing account into a new account within the same fund family.

Vision Advantages

Vision was designed and developed specifically for the financial intermediary. We have focused on providing the financial professional with a user-friendly product that can make a tremendous impact on daily operations efficiency.

Vision provides:

- single logon access for all authorized fund groups
- real-time, up-to-date fund and shareholder account information
- transaction processing
- new account establishment
- intranet and extranet access.

Other Information About Vision

The reference material contained in this manual supplements the on-line help system available through the Vision Web site. You may access this help material by clicking on the Help link at the bottom of any Vision window. The help information is displayed in a separate frame. To move back to the Vision content, close the help frame.

Inquiry and New Account Establishment

For information about the inquiry features of Vision Mutual Fund Gateway, refer to the Vision Inquiry Training Guide. For information about the new account establishment features of Vision Mutual Fund Gateway, refer to the New Account Establishment Training Guide.

Using This Guide

To use the Vision Mutual Fund Gateway to execute purchases, redemptions, and exchanges, you must first log on to the Vision Web site and use Vision search options to locate the appropriate shareholder account. Once you locate the account, the Shareholder Account Information window displays detailed account information, including any transactions that are authorized for this fund family, Operator ID, and account.

The Vision Transaction Training Guide is composed of the following sections:

- Chapter 1: Explains how to log on to the Vision Mutual Fund Gateway Internet site, change your password, or select a fund management company.
- Chapters 2-6: Describes, in detail, how to search for shareholder account information by dealer account, fund and account, shareholder name, Tax ID or Social Security Number, or Representative/Advisor Number.
- Chapter 7: Describes link and display fields on the Shareholder Account Information window.
- Chapter 8-9: Demonstrates how to use Vision to execute purchases, redemptions, and exchanges.

Each chapter includes the following information:

- **Vision Windows**—Images of each Vision window.
- **Overview**—A high-level description of the information displayed on each window.
- **Procedures**—The steps that must be completed on the window before continuing to the next window.
- **Entry Field Definitions**—The name and description of all fields that require entry or selection of information.

- **Display Field Definitions**—The name and description of fields that display information.
- **Link Definitions**—Describes hyperlinks to other windows within Vision.

Security on the Vision Web Site

Vision is secured by operator ID and password. All Vision users will be issued a Vision ID and Password. Sharing an ID is not recommended. When the password expires or is invalid, the user will be prompted for a new or valid password.

See *Chapter 1: Accessing Vision Mutual Fund Gateway* for instructions on entering your operator ID and password, and for accessing the Vision Web site.

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NOTES

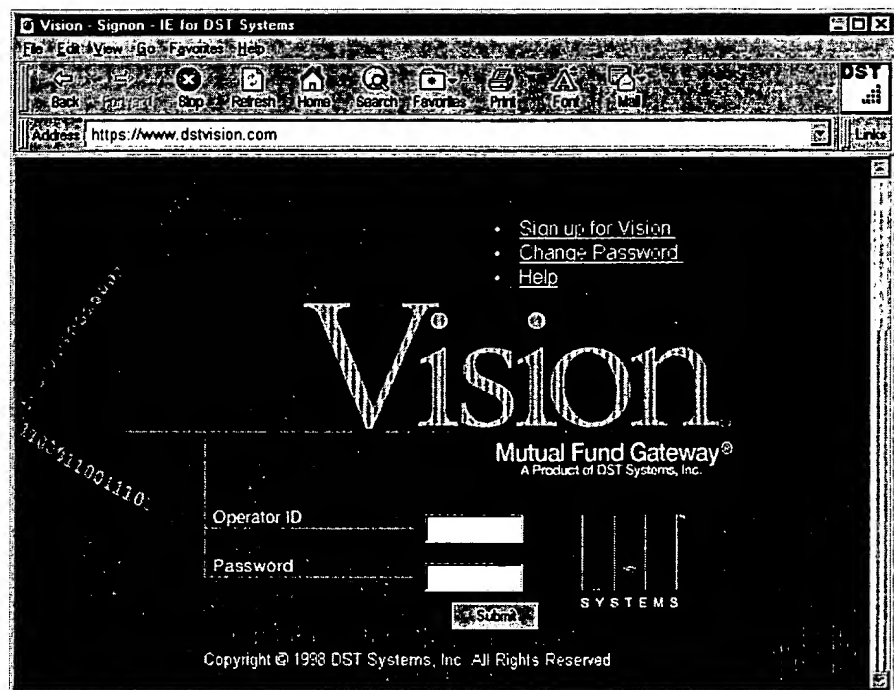
09475637-13099
SECRET

Chapter 1:

Accessing Vision Mutual Fund Gateway

Vision may be accessed by typing <http://www.dstvision.com> into the address box of your browser. If the fund requires 128-bit encryption, type <http://www.dstvision128.com>.

Note: Some funds require 128-bit encryption.



Vision Sign On window

Vision Sign On

Overview

The Vision Sign On window enables you to sign on to the system.

All you need to use Vision is an Internet browser. Vision supports the latest versions of Microsoft Internet Explorer and Netscape Navigator/Communicator. A monitor resolution of 800 x 600 is recommended.

Procedures

1. Type your alphanumeric Vision ID in the Operator ID field.
2. Type your password in the Password field
3. Click **Submit**.

The Vision Mutual Fund Gateway Internet Agreement window displays.

Entry Field Definitions

Operator ID

Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows. Your ID is assigned by the Vision Group ID and will be from four to eight alphanumeric characters long. To obtain an ID, go to the Vision enrollment Web site at <http://www.dstvisioninfo.com> and complete the online enrollment form. If the ID is not used within seven days of being assigned, or if there is no activity on the ID for 60 days, the ID will be disabled. To reset your ID, contact the DST Help Desk at (800) 228-3574.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character from the following list: !@#%_&*()/?_+=/. The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Note: If your ID is reset, your password will default to the initial password assigned by the Vision Group.

Link Definitions

Sign Up for Vision

The Vision Enrollment Web site contains information about the features and benefits of Vision, as well as the required forms to enroll in Vision or to add funds to your existing account access.

Change Password

The Change Password window allows you to change your Vision password.

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Help

All Vision help windows will open a new page of your browser. Please close the Help frame to move back to the Vision content.

This link appears on every page of the Vision site.

Change Password window

Change Password

Overview

The Change Password window enables you to change your current password. This window should also be used when your password has been reset.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your current password in the Password field. If your Vision sign-on ID is disabled, contact the DST Help Desk at 1-800-228-3574 to reset your ID and password.
3. Type your new password in the Change Password field. The password must be a minimum of seven characters and a maximum of 8 characters long and must contain at least one non-alpha, non-numeric character from the following list: ! @ # % _ & * () - / ? = + .
4. Type your new password a second time in the Verify Password field.

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Note: Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, an error message will result. Use your browser's back Back button to return to the Change Password window.

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Vision® Agreement

(Please review the terms and conditions of the Vision agreement. To continue, scroll to the end of the agreement and click on "I agree".)

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☐ I AGREE

Vision Disclaimer window

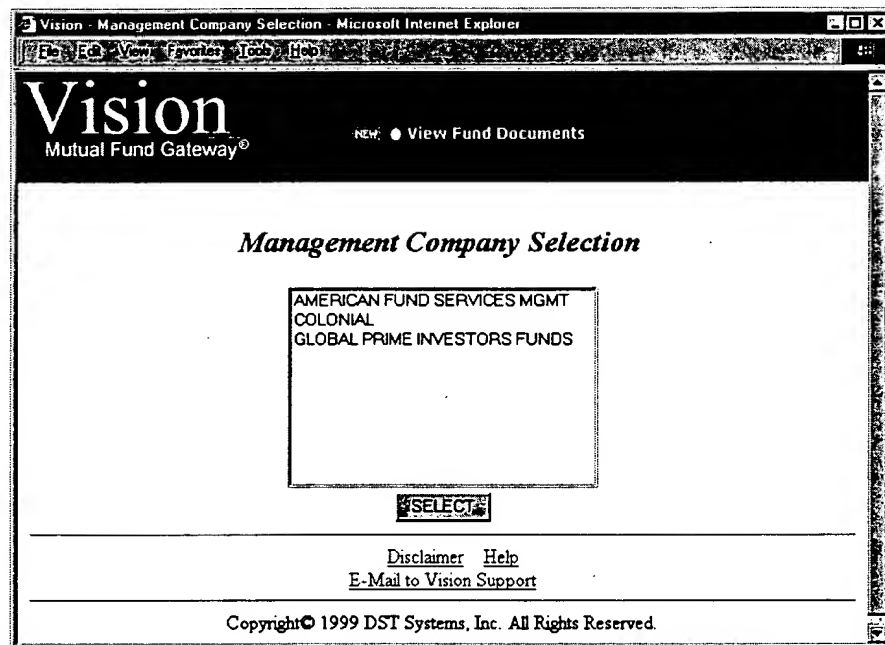
Vision Internet Agreement

Procedures

The Vision Mutual Fund Gateway Internet Agreement appears the first time you log on and will appear every 150 days subsequently for each operator ID. Click **I Agree** once you have read the agreement.

The Management Company Selection window displays. If your Vision ID has access to only one management company, the Management Company Selection window will be bypassed and the management company's Vision Menu window displays.

Management Company Selection



Vision Management Company Selection window

Overview

The Management Company Selection window enables you to select from a list of fund management companies that use Vision Mutual Fund Gateway.

Procedures

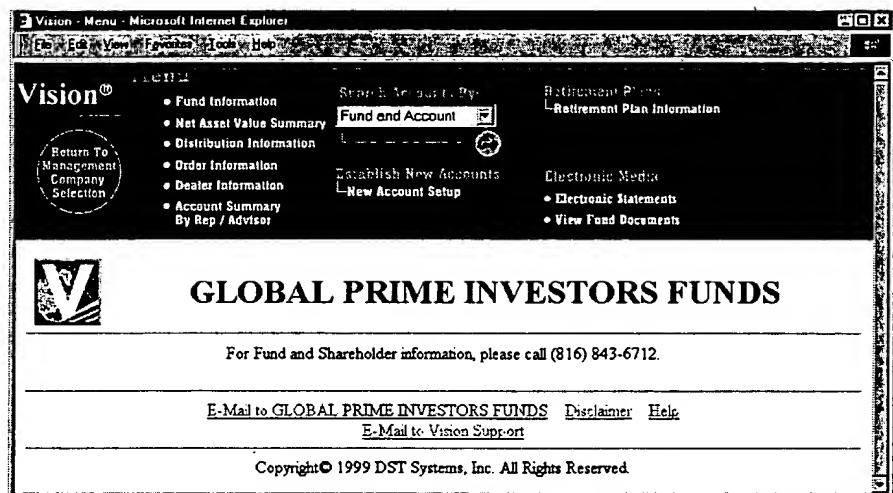
1. Highlight the name of the management company in the list box.

Note: Vision will list only management companies for which you have access. To scroll through the list, click the up or down arrow button.

2. Click **Select**. The Management Company Menu will appear.

Note: To add additional fund management companies to your access privileges, click the Sign Up for Vision hyperlink on the initial Vision Sign-On window. Go to the Vision enrollment site and complete the Additional Funds Request form. Send or fax the form to the Vision group. To go directly to the site, go to <http://www.dstvisioninfo.com>.

Management Company Menu



Management Company Menu

Overview

The Management Company Menu window provides options for accessing detailed information about the management company. Vision transaction functionality is accessed at an account level. To access a list of accounts or a specific account use one of the Search Accounts By topics from the menu page.

Procedures

Click on the desired Search Account By option to display the desired account or list of accounts. The selected window will appear.

Link Definitions

Return to Management Company Selection

Returns you to the Management Company Selection window.

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

Distribution Information

Displays a specific fund's dividend and capital gain information (including a record date, dividend and capital gain rate and price, reinvestment price and payable and reinvestment date).

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/Serv control number.

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of accounts by fund, share volume by fund, assets by fund, and totals).

Search Accounts by

Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number within a specific fund or across all funds in that family of funds.

Fund and Account

Enables you to retrieve shareholder account information by fund account number within a specific fund or across all funds in a family of funds.

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Shareholder Name

Enables you to retrieve shareholder account information by shareholder within a specific fund or across all funds in a family of funds.

Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or social security number within a specific fund or across all funds in a family of funds.

Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number within a specific fund or across all funds in a family of funds. You may retrieve and sort accounts by the following criteria:

- Tax ID number and ZIP code
- Cumulative discount number and ZIP code
- Fund number and account number
- Alphabetically by shareholder name

Retirement Plans

Retirement Plan Information

(appears only if the management company supports this option)

This new feature on the Vision Menu provides access to information about defined contribution plans including:

- plan assets and year-to-date contributions
- price and yield information
- summary of plan participants
- loan and withdrawal information by participant

Electronic Media

Electronic Statements

(appears only if the management company supports this option)

Vision users can access, view and print electronic statements that correspond in look, content and format to paper statements. You can search for electronic statements by tax ID/SSN, Rep/Advisor or Shareholder Name. Once you locate the transaction, click the hyperlink to view, download or print an electronic statement including management company information, a portfolio summary, recommended portfolio allocation, earnings summary and year-to-date contributions.

View Fund Documents

(appears only if the management company supports this option)

This feature allows the Vision client to access electronic images of prospectuses, fact sheets and other fund documents. The documents are searchable by SKU (stock-keeping unit), description or document type. Click **Item Image** to view, download and print the document displayed in the Search Results window.

E-Mail to Fund

E-Mail to Fund Hyperlink

(appears only if the management company supports this option)

A hyperlink near the bottom of the Vision Menu opens a window that allows you to e-mail questions and comments directly to the fund management company. The Comments field is required. Add your name, phone number or e-mail address or call the fund company if you would like a response.

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Chapter 2:

Searching by Dealer Account

Account Search By Dealer Account window

Account Search by Dealer Account

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Dealer Account (BIN) window enables you to retrieve shareholder account information by dealer account number. You may retrieve accounts within a specific fund or across all funds in the fund family.

Procedures

Searching for and Retrieving Account Information

1. To specify search criteria, complete one of the following options:
 - If you have **dealer, dealer/branch, or dealer/representative level security**, complete the following steps:
 - a. Type the dealer account number in the Dealer Account (BIN) field.
 - b. Click the **Search** push button.
 - c. A list of shareholder accounts will appear.
 - If you have **tax ID-level security or no security**, complete the following steps:
 - a. Type the dealer account number in the Dealer Account (BIN) field.
 - b. Type the firm number (also know as FINS) in the Firm Number field.
 - c. If the dealer account (BIN) has an agent-for-firm relationship, you may enter the agent's ID in the Agent for Firm field (an agent is also known as an executing dealer or correspondent firm). This field is optional.
 - d. Click the **Search** push button.
 - e. A list of shareholder accounts will appear.

To retrieve detailed account information and access the transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Retrieving Accounts Across Funds

Searching For Accounts by Dealer Account Number

The Retrieve Accounts Across Funds check box will be selected by default. This option enables you to retrieve information for accounts with the same dealer account number within a fund family. To search for an account by dealer in a specific fund only, complete the following steps:

1. Click the Retrieve Accounts Across Funds check box to remove the check mark.
2. Highlight the desired fund from the Select a Fund list box.
3. Complete the remaining fields as instructed in Searching for and Retrieving Account Information above.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this option will retrieve information for all accounts in a fund family that have the same dealer account number.

Dealer Account (BIN)

This number is used by the dealer to identify a client's account. Dealer account number is also referred to as broker identification number (BIN) or external account number.

Firm Number

This number is used to identify the firm. It is sometimes referred to as FINS (Financial Institution Numbering System). Depending on the security, this field may not be displayed.

Agent for Firm

This ID identifies the agent for firm. Agent for firm is also known as the executing dealer or correspondent firm, (a dealer who has an agreement to process NSCC trades for another dealer). This field is optional. Depending on the security, this field may not be displayed.

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Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balances
00000018 07-12-2000	34 CLIENT SERVICES MONEY MARKET FUND	JOHN P. KELLER 7914 NW 75TH TER	153.6600 \$ 2,979.64
00000097 07-12-2000	97 CLIENT SERVICES SPECIALIZED PORTFOLIOS	INVESTORS FIDUCIARY TRUST CO. 18A RO J PATRICK KELLER	33,153.5010 \$ 307,827.91

Total Balance: \$ 310,807.55

Select a Fund

- 0000095 - CLIENT SERVICES LOAD FUND
- 0000093 - CLIENT SERVICES LOAD TEST FUND
- 0000034 - CLIENT SERVICES MONEY MARKET FUND
- 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 0000095 - NO-LOAD FUND

Retrieve accounts across funds

Dealer Account (BIN): ABC123XYZ

Firm Number (Required): 0011

Agent For Firm (Optional):

Search

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Account Search By Dealer Account (BIN) window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File.

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value:

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

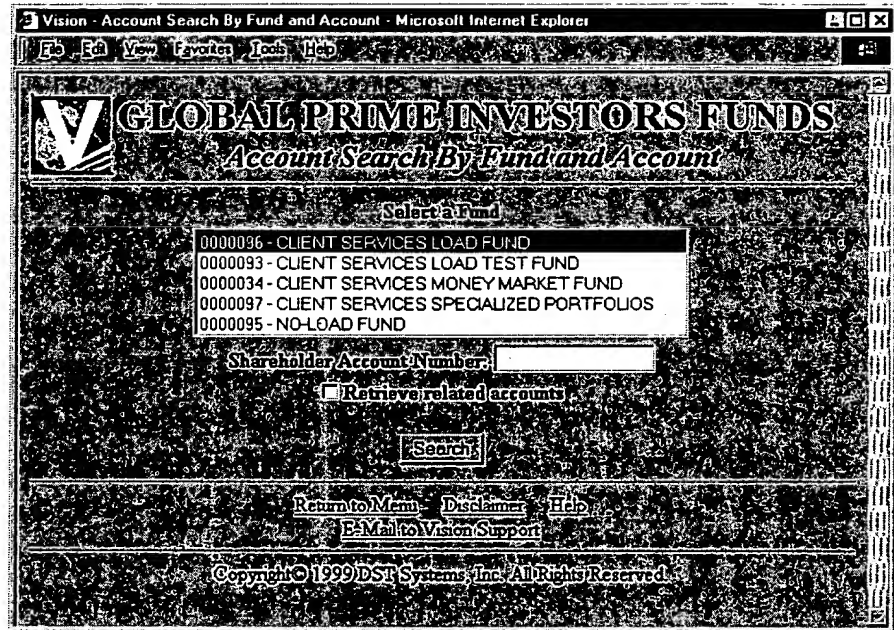
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Chapter 3:

Searching by Fund and Account



Account Search By Fund and Account window

Account Search by Fund and Account

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Fund and Account window enables you to retrieve shareholder account information by fund and account number. You may retrieve related accounts across all funds within that family of funds. The related account criteria is determined by the mutual fund company, and may vary between fund companies.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. Type the account number in the Shareholder Account Number field.
3. To retrieve related accounts across funds, select the Retrieve Related Accounts check box.
4. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information and the transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Shareholder Account Number

Enter the shareholder's account number, as identified by the mutual fund company.

Retrieve Related Accounts

When selected, all accounts, related to the shareholder account entered, will be retrieved. The fund defines how accounts are related (for example, by tax ID number, ZIP code, or cumulative discount number).

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Account Search By Fund and Account window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000 and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

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Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

Note: This search can display the Total Account Balance for a maximum of 200 accounts.

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Chapter 4:

Searching by Shareholder Name

Vision - Account Search By Shareholder Name - IE for DST Systems

GLOBAL PRIME INVESTORS FUNDS

Account Search By Shareholder Name

Select Fund

0000036 - CLIENT SERVICES LOAD FUND
0000033 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000037 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Last Name: Keller

First Name (Optional):

Middle Initial (Optional):

State (Optional): You May Select a State

Search

ReturnToMenu Help

Account Search By Shareholder Name window

Account Search by Shareholder Name

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Shareholder Name window enables you to retrieve shareholder account information by shareholder name. You may retrieve accounts across funds in the same fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. To retrieve information for accounts with the same shareholder registration across a fund family, select the Retrieve Accounts Across Funds check box.

3. Type the shareholder's last name in the Last Name field. At least two characters of the last name are required.
4. To further limit the search, complete one or more of the following optional fields:
 - Type the shareholder's first name in the First Name field.
 - Type the shareholder's middle initial in the Middle Initial field.
 - Type the shareholder's state code in the State Code field.
5. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information and access the transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same shareholder registration.

Last Name

This name is the shareholder's last name on the account registration. At least two characters of the last name are required.

First Name

This name is the shareholder's first name on the account registration. This field is optional.

Middle Initial

This initial is the first letter of the shareholder's middle name on the account registration. This field is optional.

State Code

This code is the two-letter abbreviation for the state listed on the shareholder's account registration. This field is optional.

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Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
00000093 497-42-2125	00000093 - CLIENT SERVICES MONEY MARKET FUND	PAT F KELLER 11815 AVILA DR	13,7440 \$ 222.51

Select a Fund

- 00000093 - CLIENT SERVICES LOAD FUND
- 00000093 - CLIENT SERVICES LOAD TEST FUND
- 00000034 - CLIENT SERVICES MONEY MARKET FUND
- 00000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 00000095 - NO-LOAD FUND

☒ Retrieve accounts across funds

Last Name: KELLER

First Name (Optional):

Account Search By Shareholder Name window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

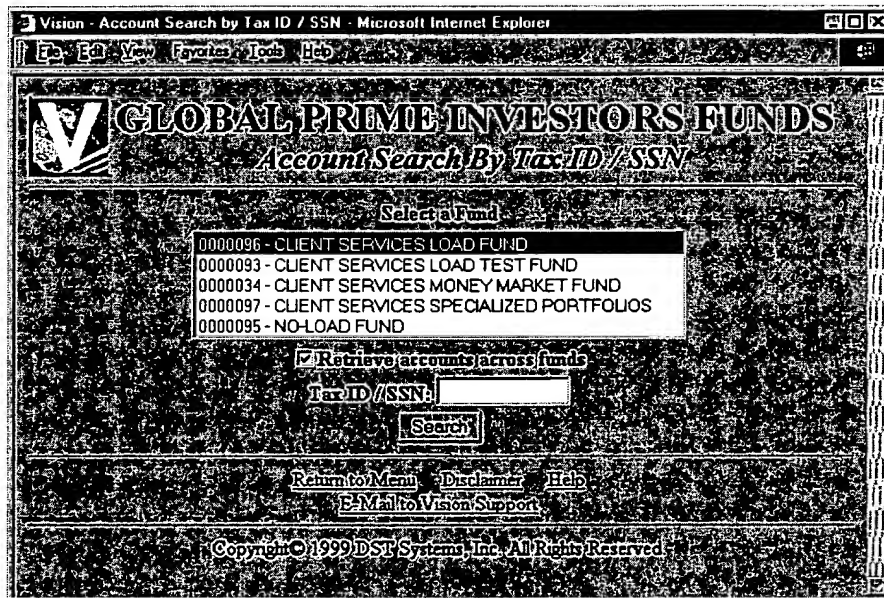
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Chapter 5:

Searching by Tax ID or Social Security Number



Account Search by Tax ID/SSN window

Account Search by Tax ID/SSN Help

Overview

Vision Transaction functionality is accessed at the account level. The Account Search by Tax ID/SSN window enables you to retrieve shareholder account information by tax ID or Social Security number. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.
2. The Retrieve Accounts Across Funds check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not want to retrieve a list of all accounts in the fund family that are related by tax ID or Social Security Number, select this check box again to remove the option.
3. Type the shareholder's tax ID or Social Security Number in the Tax ID/SSN field.
4. Click the Search push button. A list of accounts that match your search criteria will be displayed.
5. To retrieve detailed account information and access transaction functions, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this option will retrieve information for all accounts in a fund family that have the same shareholder tax ID or Social Security Number. This option is selected by default.

Tax ID/SSN

This number uniquely identifies the shareholder. You may enter the shareholder's tax ID number or Social Security Number.

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Account Tax ID (SSN)	Fund Code Fund Name	Shareholder Registration	Shares Balance
0147 07-22-263	CLIENT SERVICES LOAD FUND	INVESTMENT FIDUCIARY TRUST CO CUST FOR THE IRA OF	241.000 \$ 21,022.17
0000096 07-22-263	CLIENT SERVICES LOAD FUND	JOHN F KELLER 7914 NW 76TH TER	0.0000 \$ 0.00
0000096 07-22-263	CLIENT SERVICES LOAD FUND	JOHN F KELLER MARILYN F KELLER JT W/CO	3.2400 \$ 214.00
			Total Balance \$ 21,236.17

Select a Fund

0000096 - CLIENT SERVICES LOAD FUND
0000093 - CLIENT SERVICES LOAD TEST FUND
0000034 - CLIENT SERVICES MONEY MARKET FUND
0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
0000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Tax ID / SSN: 497822823

Search

Return to Menu Help
PRIME Voluntary Support

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Account Search by Tax ID/SSN window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify a fund on TA2000 and the full fund name.

Shareholder Registration

Displays the first two lines of shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

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Chapter 6:

Searching by Representative/Advisor Number

Account Search By Rep/Advisor window

Account Search by Rep/Advisor

Overview

The Account Search by Rep/Advisor window enables you to retrieve shareholder account information by representative or advisor. You may retrieve accounts across all funds in the fund family.

Procedures

1. To retrieve accounts within a specific fund, highlight the desired fund in the Select a Fund scroll box.

2. The Retrieve Accounts Across Funds check box is selected by default. This allows you to retrieve a list of accounts across the fund family. If you do not want to retrieve a list of all accounts in the fund family, select this check box again to remove the option.
3. Type the dealer number in the Dealer Number field. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.
4. Type either the representative or advisor number in the Rep/Advisor Number field. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.
5. The Tax ID + ZIP Code sort criteria is selected by default. To sort the returned list of accounts in a different order, select the desired button.
6. Click the Search push button.

A list of accounts that match your search criteria will be displayed.

To retrieve detailed account information, click on the desired account number in the list. The Shareholder Account Information window will appear.

Entry Field Definitions

Retrieve Accounts Across Funds

When selected, this check box will retrieve information for all accounts in a fund family that have the same representative/advisor number.

Dealer Number

This number is used by the fund to identify the dealer. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid dealer numbers from which to select.

Rep/Advisor

This number identifies the representative or advisor assigned to the account. Depending on your security level, this field may be pre-filled or the field may be replaced by a drop down list displaying valid representative/advisor numbers from which to select.

Tax ID + ZIP Code

When selected, this button causes the returned list of accounts to be displayed in tax ID and ZIP code order.

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Cumulative Discount Number + ZIP Code

When selected, this radio button causes the returned list of accounts to be displayed in cumulative discount number and ZIP code order.

Fund + Account Number

When selected, this button causes the returned list of accounts to be displayed in fund name and account number order.

Alphabetical by Name

When selected, this button causes the returned list of accounts to be displayed in alphabetical order by shareholder name.

GLOBAL PRIME INVESTORS FUNDS
Account Search By Rep / Advisor

(Please click on the account number of the account you wish to view.)

Account/ Tax ID (SSN)	Fund Code/ Fund Name	Shareholder Registration	Shares/ Balance
000000892 111-11-1111	96 CLIENT SERVICES LOAD FUND	KELLE R HENNIER 1234 LOCUST	1.3890 \$77.24
000000673 112-11-0630	96 CLIENT SERVICES LOAD FUND	MARY C BRADY 1033 BROADWAY ST FL 4	17.2030 \$990.02
000000488 888-88-8888	96 CLIENT SERVICES LOAD FUND	PAT P KELLER 11817 AVILA DR	13.8890 \$772.37
			Total Balance: \$ 30,466.04

Select a Fund

- 00000095 - CLIENT SERVICES LOAD FUND
- 00000093 - CLIENT SERVICES LOAD TEST FUND
- 00000034 - CLIENT SERVICES MONEY MARKET FUND
- 00000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
- 00000095 - NO-LOAD FUND

☐ Retrieve accounts across funds

Dealer Number:

Rep / Advisor Number:

Select Sort Criteria

- ☒ Tax ID + ZIP Code
- ☐ Cumulative Discount Number + ZIP Code
- ☐ Fund + Account Number
- ☐ Alphabetical by Name

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Account Search By Rep/Advisor window

Display Field Definitions

(Listed in window order.)

Account/Tax ID (SSN)

Displays the shareholder's account number, as identified by the fund company, and the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Fund Code/Fund Name

Displays the numeric code used to identify the fund on TA2000® and the full fund name.

Shareholder Registration

Displays the first two lines of the shareholder registration retrieved from the Voluntary Shareowner Account Master File (A87).

Shares/Balance

Displays the number of shares in the shareholder's account and the corresponding dollar value.

Total Account Balance

Displays the total of all amounts in the Shares/Balance column at the end of the Search Results list. If there is more than one page of results, the Total Account Balance will appear at the end of the list on the last page of results.

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Chapter 7:

Shareholder Account Information

Shareholder Account Information window

GLOBAL PRIME INVESTORS FUNDS
Shareholder Account Information

Account: 5000000218
Account History

JOHN P. GEMILLER
714 NW 76TH TER
KANSAS CITY, MO 64152-4419

CLIENT SERVICES SPECIALIZED PORTFOLIOS
CUSIP: CUSIP9700 Fund Code: 97

Total Shares:	384,9860	Date Established:	10/23/1998
Issued Shares:	0.0000	Last Maintenance:	10/19/1998
Unissued Shares:	384,9860	Dealer Name:	MIDWEST BROKERAGE
Escrow Shares:	120.0000	Dealer/Branch:	001111/111
NAV per Share:	\$10.9700	Rep/Advisor Name:	
NAV as of Date:	05/29/1999	Dealer Account:	
Account Value:	\$4,223.90	Rep/Advisor Number:	1224
Net Pending (Reinvest):	\$0.00	Main Level:	0
Distribution Amount:	\$0.00	Alpha Code:	KEBAIOHND
Net Pending (Cash):	\$0.00	Cumulative Discount Number:	0
Distribution Amount:	\$0.00	Partner of Interest Number:	000043203
Daily Dividend Accrual:	\$0.00		

Capital Gains: Reinvest
Dividends: Reinvest
Tax ID: 497-82-2623

Account Options:
☐ Audio Response
☐ Correspondence Pending
☐ Language: English
☐ Telephone Exchange

Additional Information:
☐ Account History
☐ Account Maintenance History
☐ CDSC Hypothetical Calculation
☐ Dealer Information
☐ Year End Summary

Transactions:
☐ Purchases

Return to Account List | Log Off | Help

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Shareholder Account Information window

Shareholder Account Information

Overview

The Shareholder Account Information window displays general account information and enables you to retrieve additional information relating to the

account, and as well as process transactions. Transaction functionality links are dynamically displayed based on three criteria:

- the fund family must offer purchase, redeem, or exchange through Vision
- the fund family must have previously authorized and set up your Vision sign on ID to access purchase, redeem, or exchange
- the shareholder account options must meet the minimum criteria to allow purchase, redeem, or exchange (i.e. is the account set up with ACH and bank instructions?).

If a transaction functionality link is not displayed, contact your fund client service representative to review the transaction functionality criteria.

Procedures

1. View the displayed account information.
2. To process a purchase, redeem, or exchange, click one of the highlighted transaction links displayed under the 'Transactions' heading at the bottom of the window.

Note: Displayed links will vary depending on the options established for the fund, account, and ID.

3. The selected window will appear.

Link Definitions

Exchange, Purchase and Redeem links only are defined in this guide. Definitions for the complete list of 'Account Options' and 'Additional Options' links are outlined in the Vision Inquiry Training Guide.

Exchange

Allows you to exchange shares out of the currently displayed account and in to a new or selected account.

Purchase

Allows you to purchase shares for the currently displayed account.

Redeem

Allows you to redeem shares from the currently displayed account.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Total Shares

Displays the current share balance of the account.

Issued Shares

Displays the number of shares that are in certificate form.

Unissued Shares

Displays the number of shares in the account that do not have issued certificates.

Escrow Shares

Displays the number of escrow shares held in the account. Escrow shares are held in custody by the transfer agent, pending successful completion of a letter of intent (LOI). Usually, the escrow share amount is equal to five percent of the LOI dollar amount.

NAV Per Share

Displays the dollar value of one share of the fund. Value is determined by the formula (total assets - total liabilities)/total shares outstanding.

NAV as of Date

Displays the date the NAV (net asset value) was calculated.

Note: The NAV date is not necessarily the same as the current date.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

Pending Distributions (Reinvest)

Displays the dollar amount of pending reinvestment distributions. This field displays any of the following distribution types:

- reinvest income dividends
- reinvest short term capital gains
- reinvest long term capital gains
- any other miscellaneous reinvestment distribution amounts.

Pending Distributions (Cash)

Displays the dollar amount of pending cash distributions. This field displays any of the following distribution types:

- cash income dividends

- cash short term capital gains
 - cash long term capital gains
 - any other miscellaneous cash distribution amounts.
-

Daily Dividend Accrual

Displays the dividend amount that has accrued within the account since the last dividend payment. This applies to daily dividend funds only.

Capital Gains

Displays the method for distributing capital gains: reinvest or pay in cash.

Dividends

Displays the method for distributing dividends: reinvest or pay in cash.

Tax ID

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

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Date Established

Displays the date that the shareholder's account was established with the fund. (If the last maintenance date displayed for the account is before the date established, the Date Established field will indicate the date the account was first funded).

Last Maintenance

Displays the most recent voluntary update to the file.

Dealer Name

Displays the dealer firm name.

Dealer/Branch

Displays the dealer number and branch number used by the fund company for dealer and branch identification.

Rep/Advisor Name

Displays the name of the representative on the account.

Rep/Advisor Number

Displays the number assigned to the dealer representative on the account.

Dealer Account

Displays the number used by the dealer to identify a client's account.

Matrix Level

Displays one of five values to indicate the level of dealer control:

- 0 = non-networked broker account
- 1 = broker control IRA margin account
- 2 = customer name brokerage account
- 3 = broker control brokerage account
- 4 = fund controlled brokerage account

Alpha Code

Displays a shareholder's alpha code. An alpha code is a ten-character code that can be formatted in one of the following ways:

- the entire last name (up to ten characters) followed by as much of the first name as possible
- (5-4-1) the first five letters of the last name, the first four letters of the first name, and the middle initial. If the first or last name does not have the

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required number of letters or if a middle initial is not supplied, hyphens (-) will complete the spaces.

Cumulative Discount Number

Displays the cumulative discount (cum disc) number. A cumulative discount number links shareholder accounts to provide purchase discount pricing and to provide for group reporting purposes.

Letter of Intent Number

Displays the letter of intent (LOI) number. An LOI is a contractual agreement between a shareholder and a dealer stating that the shareholder will invest a certain dollar amount within a specific 13-month period for a specified reduction in price.

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Chapter 8:

Purchases

Purchase will appear as an available transaction on the Shareholder Account Information page only if it is authorized for the fund family, Operator ID, and account. Click the Purchase hyperlink on the Shareholder Account Information page to open the Purchase window.

Vision - Purchase - IE for DSI Systems

GLOBAL PRIME INVESTORS
Purchase

22 MIF FUND - MIRROR GVT FUND 22
Ticker: MGVF CUSIP: 226300101 Fund Code: 22

Account: 8408
Tax ID/SSN: 09-704433
DEBBIE RUILOPEZ
507 PACIFIC DR
BELTON MO 64012-2935

Total Shares: 235247500
Account Value: \$316162256

Share balance may be affected by recent account activity. See Pending Orders.

(Decimal point not required on whole dollar trades; see Help for examples)

Dollar Amount: 0

Continue

Purchase window

Purchase

Overview

The Purchase window displays total shares and account value information and enables you to purchase additional shares for the account. Subsequent automated clearing house (ACH) purchase transactions allow movement of money from a shareholder's bank account to his or her mutual fund account. The trade date for settlement of the account will be determined by the fund's ACH processing rules. Purchase transactions for existing accounts (subsequent purchases) are supported if the shareholder has sufficient bank information with the fund.

Procedures

1. Enter the dollar amount for which you want to purchase shares. Whole dollar trades do not require a decimal point. For example, to purchase five hundred dollars worth of shares, enter **500** — not **500.00**. Transactions with cents require a decimal point. For example, to purchase five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars.
2. Click the Continue push button. The Purchase Verification window will appear.

Entry Field Definitions

Dollar Amount

Enter the dollar amount of the purchase. Whole dollar trades do not require a decimal point. For example, to purchase five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to purchase five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

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Purchase Verification window

Purchase Verification

Overview

The Purchase Verification window enables you to review and confirm, cancel or modify the purchase information before the transaction is placed.

Procedures

1. Review the purchase transaction information carefully.
2. Click one of the following push buttons:
 - To **accept** the displayed purchase information, click the Confirm Purchase push button. The transaction will be submitted to the fund company. The Purchase Confirmation window will appear.
 - To **reject** the displayed purchase information, click the Cancel push button. The transaction will not be submitted to the fund company. The previous window will appear.
 - To **modify** the displayed purchase information, click the browser's Back button. The purchase entry window will be re-displayed to allow changes to the dollar amount.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Purchase Verification

Displays transaction information for review associated with the purchase, including the amount of the purchase, the fund number and name, and the account number.

The screenshot shows a web browser window titled "Vision - Purchase - IE for DST Systems". The page header includes a logo and the text "GLOBAL PRIME INVESTORS" and "Purchase". Below this, a table displays fund information: "28 MFB FUND - MIRRORS GVT FUND 22", "Ticker: MGVTF", "CUSIP: 226300101", and "Fund Code: 28". The account information section lists "Account: 8408", "Tax ID/SSN: 492-70-4453", and the shareholder's name and address: "DEBBIE R LOPEZ", "507 PACIFIC DR", "BELTON MO 64012-2933". The "Purchase Confirmation" section states: "You have approved a request to buy \$300.00 worth of shares in the 28 MFB FUND - MIRRORS GVT FUND 22, account number 8408. The fund company reserves the right to reject this transaction. If this transaction is approved by the fund company, the amount will be withdrawn from the bank account 123. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at 1-800-421-0180." The reference number for the transaction is 9911103. At the bottom, there is a "Return to Shareholder Account Information" link and a copyright notice: "Copyright © 1998 DST Systems Inc. All Rights Reserved."

Purchase Confirmation window

Purchase Confirmation

Overview

The Purchase Confirmation window displays the purchase information submitted to the fund company and provides you with the transaction reference number. The fund company's support phone number is included on the confirmation window in the event the transaction needs to be modified or canceled.

Procedures

1. Review the submitted purchase transaction information.
2. Retain the transaction reference number for future reference.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Purchase Confirmation

Displays the purchase information submitted to the fund company including the amount of the purchase, the fund number and name, account number, and the transaction reference number.

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Chapter 9:

Redemptions

Redemption will appear as an available transaction on the Shareholder Account Information page only if it is authorized for the fund family, Operator ID, and account. Click the Redeem hyperlink on the Shareholder Account Information page to open the Redemption window.

Redemption window

Redemption

Overview

The Redemption window displays total share and account value information and allows you to redeem shares from the account. The two redemption transaction types supported by Vision are automated clearing house (ACH) redemptions, and check redemptions to the address of record. Redemptions from fiduciary accounts are not supported at this time due to reporting and regulatory issues. The automated clearing house (ACH) redemption transaction enables the movement of money from a shareholder's accounts to his or her bank accounts. The check redemption transaction allows the liquidation of money from a shareholder's

mutual fund accounts and a check for the proceeds to be sent to the address of record

Procedures

1. Complete one of the following selection fields:

- To redeem a **specified dollar amount**, click the Dollar Amount button. Then, enter the dollar amount to be redeemed in the corresponding field. Whole dollar trades do not require a decimal point. For example, to redeem five hundred dollars worth of shares, enter **500**. Transactions with cents do require a decimal point. For example, to redeem five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read, the amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars.
- To redeem a **specified share amount**, click the Number of Shares button. Then, enter the number of shares to be redeemed in the corresponding field. Whole share trades do not require a decimal point. For example, to redeem two hundred shares, enter 200. Transactions with fractional shares require a decimal point.
- To redeem all shares in the account, click the All Shares radio button.

2. If the account is a **contingent deferred sales charge (CDSC) account**, select one of the following options:

- To add the CDSC fees to the share/dollar amount redeemed, click the Net button.
- To subtract the CDSC fees from the redemption amount you specified, click the Gross button.

If the account is not a CDSC account, these buttons will not display.

3. If the shareholder's account records contain **bank account information**, you may select whether the shareholder receives a check for the redeemed shares or if the share value should be automatically deposited into the shareholder's bank account. Select one of the following options:

- To receive a check, click the By check mailed to the above address button. The check will be mailed to the address displayed at the top of the window.
- To automatically deposit the funds in the shareholders account, click the By electronic deposit to the bank account of record button. To review bank account information for the account, select the Bank Instructions option from the Shareholder Account Information window.

If the shareholder's account records do not contain bank account information, these buttons will not display. In this case, a check will be mailed to the address displayed at the top of the window.

4. Click the Continue button. The Redemption Vérification window displays.

Entry Field Definitions

(Listed in order.)

Dollar Amount

Enter the dollar amount of the redemption. Whole dollar trades do not require a decimal point. For example, to redeem five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to redeem five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars. This field is valid only if the Dollar Amount button is selected.

Number of Shares

Enter the number of shares to be redeemed. Whole share trades do not require a decimal point. For example, to redeem two hundred shares, enter **200**. Transactions with fractional shares require a decimal point. This field is valid only if the Number of Shares button is selected.

All Shares button

Enables you to specify that all shares will be redeemed from the account.

Gross button (displayed only if a CDSC account)

When selected, indicates that CDSC fees will be subtracted from the dollar/share amount redeemed. You will receive the remaining balance.

Net button (displayed only if a CDSC account)

When selected, indicates that the CDSC fees will be added to the dollar/share amount redeemed.

By check mailed to the above address button (displayed only if account contains bank account information)

When selected, indicates that a check for the redemption amount will be mailed to the address displayed at the top of the window.

By electronic deposit to the bank account of record button (displayed only if account contains bank account information)

When selected, indicates that the redemption amount will be automatically deposited to the bank account of record. To review bank account information for the account, select the Bank Instructions option from the Shareholder Account Information window.

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Link Definitions

CDSC Hypothetical Calculation (displayed only if the account is a CDSC account)

Displays hypothetical information on contingent deferred sales charge (CDSC) fees for a redemption from the account. (Displayed fees are for informational purposes only. This window does not initiate an actual redemption transaction.)

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.

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GLOBAL PRIME INVESTORS
Redemption

28 MFB FUND - MIRRORS CVT FUND 22
Phone: MGVLT CUSIP: 226300101 F-Code: 22

Account: 8408 DEBBIE R LOPEZ
Tax ID/SSN: 09-10-4453 507 PACIFIC DR
BELTON, MO 64012-2315

Redemption Verification

You have requested to sell \$350.00 worth of shares from the 28 MFB FUND - MIRRORS CVT FUND 22, account number 8408. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, proceeds will be deposited to the bank account electronically. If you do not want to sell these shares, select CANCEL.

[Return to Shareholder Account Information](#) [Help](#)

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Redemption Verification window

Redemption Verification

Overview

The Redemption Verification window allows you to review and confirm, cancel or modify the redemption information before the transaction is placed.

Procedures

1. Review the redemption transaction information carefully.
2. Click one of the following push buttons:
 - To accept the displayed redemption information, click the Confirm Redemption push button. The transaction will be submitted to the fund company. The Redemption Confirmation window will appear.
 - To reject the displayed redemption information, click the Cancel push button. The transaction will not be submitted to the fund company. The previous window will appear.
 - To modify the displayed redemption information, click the browser's Back button. The redemption entry window will be re-displayed to allow changes to the dollar amount.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redemption Verification

Displays transaction information associated with the redemption, including the amount of the redemption, the fund number and name, and the account number.

The screenshot shows a web browser window titled "Vision - Redemption - IE for DST Systems". The main content area is titled "GLOBAL PRIME INVESTORS" and "Redemption". It displays the following information:

- Fund Information:** 23 MFB FUND - MIRRORS CVT FUND 22, Ticker: MGVTF, CUSIP: 22300101, Fund Cat: 23.
- Account Information:** Account: 8403, Tax ID/SSN: 49-70-443.
- Shareholder Information:** DEBBIE R LOPEZ, 507 PACIFIC DR, BELTON MO 64012-2935.
- Redemption Confirmation:** You have approved a request to sell \$350.00 worth of shares from the 23 MFB FUND - MIRRORS CVT FUND 22, account number 8403. The fund company reserves the right to reject this transaction. If the transaction is accepted by the fund company, proceeds will be deposited to the bank account 124 electronically. If the shareholder does not receive written confirmation of this transaction, please contact the fund company at 1-800-421-0180.
- Reference Number:** The reference number for this transaction is 9911104.
- Navigation:** Return to Shareholder Account Information - Help.
- Copyright:** Copyright © 1998 DST Systems Inc. All Rights Reserved.

Redemption Confirmation window

Redemption Confirmation

Overview

The Redemption Confirmation window displays the redemption information submitted to the fund company and provides you with the transaction reference number. The transaction has already been submitted to the fund, and cannot be automatically modified or canceled through Vision. Call the fund company's support phone number, included on the confirmation window, if the transaction needs to be modified or canceled.

Procedures

1. Review the submitted redemption transaction information.
2. Retain the transaction reference number for future reference.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

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Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the shareholder's account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redemption Confirmation

Displays the redemption information submitted to the fund company including the amount of the redemption, the fund number and name, account number, and the transaction reference number.

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GLOBAL PRIME INVESTORS FUNDS
CDSC Hypothetical Calculation

CLIENT SERVICES SPECIALIZED PORTFOLIOS
 Ticker: CSPAF CUSIP: CUSIP9700 Fund Code: 97
 Account: 6000005096 PAT R KELLER
 Tax ID/SSN: 333-11-1223 1055 BROADWAY ST FL 8
 KANSAS CITY MO 64105-1575

Total Shares: 18,2480
 Account Value: \$200.18

Use the partial redemption method to estimate the CDSC fees paid if a specified number of shares or dollar amount were redeemed from an account.
 Use the full redemption method to estimate the CDSC fees paid if all shares in an account were redeemed (e.g. when closing an account).
 Use gross to have the CDSC fees taken out of the amount specified.
 Use net to add the CDSC fees to amount redeemed.

☒ Partial Redemption or ☐ Full Redemption
☒ Gross or ☐ Net
☒ Dollars or ☐ Shares

Redemption Amount:

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

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CDSC Hypothetical Calculation window

CDSC Hypothetical Calculation

Overview

The CDSC Hypothetical Calculation window displays information on contingent deferred sales charge (CDSC) fees for a redemption from the account. Displayed fees are for informational purposes only, and entries on this window will not initiate a redemption transaction.

Procedures

1. Select from the following buttons to specify the method by which to calculate hypothetical CDSC fee information:

- To redeem all shares in the account, click the Full Redemption button. Otherwise, the Partial Redemption button will be selected by default and you will be able to enter the number of shares or dollars to be redeemed.
 - To add the CDSC fees to the share/dollar amount redeemed, click the Net button. Otherwise, the Gross button will be selected by default and CDSC fees will be subtracted from the redemption amount you specify.
 - If you selected the Partial Redemption button, click the Shares button to specify a share amount to be redeemed. Otherwise, the Dollars button will be selected by default.
2. If you selected the Partial Redemption button, type the redemption amount (in shares or dollars, as appropriate) in the Redemption Amount field.
 3. Click the Calculate button. The fee amount will be calculated and displayed in the upper portion of the window.

Entry Field Definitions

Redemption Amount

If hypothetical fees are being calculated on a partial redemption, the Redemption Amount field must be completed.

- If the Dollars button is selected, enter the dollar amount of the redemption. Enter whole dollar amounts only.
- If the Shares button is selected, enter the number of whole shares to be redeemed.

Link Definitions

CDSC Fee Description

Displays CDSC information specific to the fund family.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Redeemed Dollars

Displays the total dollar value of the redemption.

Redeemed Shares

Displays the total share amount of the redemption.

NAV Per Share

Displays the dollar value of one share of the fund as determined by the formula (total assets - total liabilities)/total shares outstanding.

CDSC Fee

Displays the total CDSC fee charged to the redemption.

Free Money

Displays the amount of money in the account that is not subject to CDSC fees.

Check Amount

Displays the total dollar amount that would be issued to the shareholder. If the Gross redemption option was selected, this amount will be less any CDSC fees.

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NOTES

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Chapter 10:

Exchanges

Exchange will appear as an available transaction on the Shareholder Account Information page only if it is authorized for the fund family, Operator ID, and account. Click the Exchange hyperlink on the Shareholder Account Information page to open the Exchange window.

Vision - Exchange - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Exchange

CLIENT SERVICES MONEY MARKET FUND
 Ticker: CSMBF CUSIP: CUSIP3400 Fund Code: 34
 Account: 5000000224 JOHN P KELLER
 Tax ID/SSN: 497-82-2623 MARILYN B KELLER JT WROS
 7914 NW 76TH TER
 KANSAS CITY MO 64152-4419

Total Shares: 54,637.0
 Account Value: \$1,059.41
 (Actual shares available for exchange may be less)

(Decimal point not required on whole dollar trades, see Help for examples.)

Exchange Option: ☒ Dollar Amount \$
☐ Number of Shares:
☐ All Shares

Exchange to Fund: ☒ 0000096 - CLIENT SERVICES LOAD FUND
☐ 0000093 - CLIENT SERVICES LOAD TEST FUND
☐ 0000097 - CLIENT SERVICES SPECIALIZED PORTFOLIOS
☐ 0000095 - NO-LOAD FUND

Exchange to Account: ☒ Existing Account
☐ Establish New Account

[Help](#)
[E-Mail to Vision Support](#)

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Exchange window

Exchange

Overview

The Exchange window displays total share and account value information and allows you to exchange shares between accounts. Exchanges will be allowed between two existing accounts and to a new account (in which case selected account information will be copied from the existing account). An exchange to existing account is the movement of money from one fund to another fund in previously established accounts within the same mutual fund family. An exchange to a new account is the movement of money from a previously established account in one fund to a new account in another fund within the same fund family.

Procedures

1. Complete one of the following selection fields:
 - To exchange a specified dollar amount, click the Dollar Amount button. Enter the dollar amount to be exchanged from the account in the corresponding field. Whole dollar trades do not require a decimal point. For example, to exchange five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to exchange five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read, the amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars. This field is valid only if the Dollar Amount button is selected.
 - To exchange a specified share amount, click the Number of Shares button. Enter the number of shares to be exchanged from the account in the corresponding field. Whole share trades do not require a decimal point. For example, to exchange two hundred shares, enter **200** — not **200.000**. Transactions with fractional shares require a decimal point. This field is valid only if the Number of Shares button is selected.
 - To exchange **all shares** out of the account, click the All Shares button.
2. Select the fund into which exchanged dollar value/shares will be placed from the Exchange to Fund list box.
3. Select one of the following Exchange To Account options:
 - To exchange into an existing account, click the Existing Account button. Enter the account number in the corresponding field.
 - To exchange into a new account, click the Establish New Account button. Registration information from the existing account will be used to establish the new account.
4. Click the Continue button. The Exchange Verification window appears.

Entry Field Definitions

Dollar Amount

Enter the dollar amount of the exchange. Whole dollar trades do not require a decimal point. For example, to exchange five hundred dollars worth of shares, enter **500**. Transactions with cents require a decimal point. For example, to exchange five hundred dollars and sixty-six cents worth of shares, enter **500.66**. Only two decimal points are read. The amount is not rounded up or down. For example, 500.6679 dollars will be read as 500.66 dollars. This field is valid only if the **Dollar Amount** button is selected.

Number of Shares

Enter the number of shares to be exchanged. Whole share trades do not require a decimal point. For example, to exchange two hundred shares, enter **200**. Transactions with fractional shares require a decimal point. This field is valid only if the **Number of Shares** button is selected.

All Shares

Enables you to specify that all shares will be exchanged from the account.

Exchange to Fund

Select the fund into which the dollar amount/shares will be exchanged.

Existing Account

Enter the account number into which the dollar amount/shares will be exchanged. This field is valid only if the **Existing Account** button is selected.

Establish New Account

Enables you to specify that the shares will be exchanged into a new account. Registration information from the existing account will be used to establish the new account.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

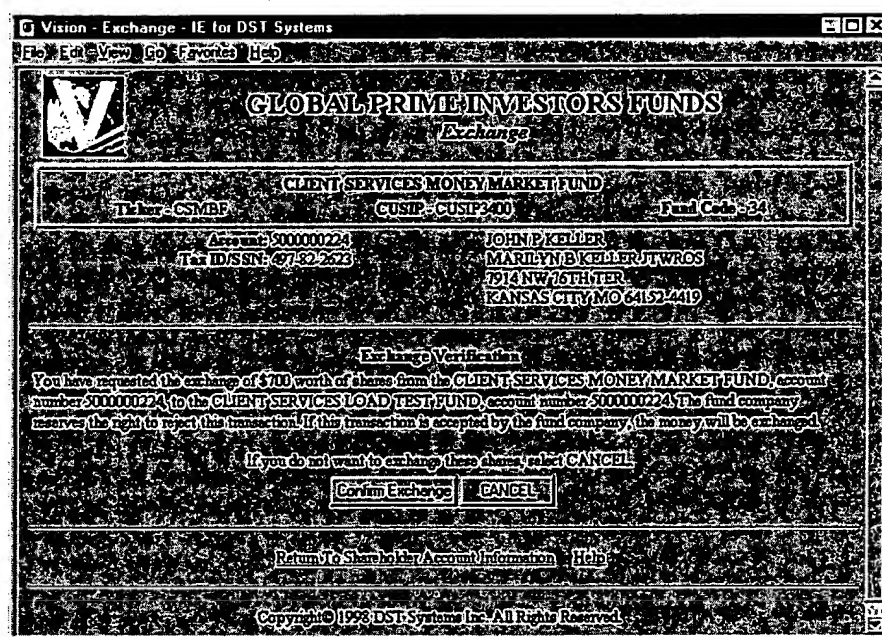
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Total Shares

Displays the current share balance of the account.

Account Value

Displays the dollar value of the account. Account value is determined by multiplying the sum of the issued and unissued shares by the net asset value.



Exchange Verification window

Exchange Verification

Overview

The Exchange Verification window allows you to review and confirm, cancel or modify the exchange information before the transaction is placed.

Procedures

1. Review the exchange transaction information carefully.
2. Click one of the following buttons:
 - To **accept** the displayed exchange information, click the Confirm Exchange push button. The transaction will be submitted to the fund company. The Exchange Confirmation window will appear.

- To **reject** the displayed exchange information, click the Cancel push button. The transaction will not be submitted to the fund company. The previous window will appear.
- To **modify** the displayed exchange information, click the browser's Back button. The exchange entry window will be re-displayed to allow changes to the dollar amount.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Exchange Verification

Displays transaction information associated with the exchange, including the amount of the exchange, the fund number and name, and the account number.

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GLOBAL PRIME INVESTORS FUNDS
Exchange

CLIENT SERVICES MONEY MARKET FUND
 Ticker: CSMBF CUSIP: CUSIP3400 Fund Code: 34

Account: 5000000224 JOHN P. KELLER JR.
 Tax ID/SSN: 497-82-2623 MARILYN B. KELLER JTWROS
 7914 NW 76TH TER
 KANSAS CITY MO 64152-4419

Exchange Confirmation
 You have approved the exchange of \$700 worth of shares from the CLIENT SERVICES MONEY MARKET FUND, account number 5000000224, into CLIENT SERVICES LOAD TEST FUND, account number 5000000224. The fund company reserves the right to reject this transaction. If this transaction is accepted by the fund company, the money will be exchanged. If the shareholder does not receive written confirmation of this transaction, please contact the fund company at (816) 843-6712.
 The reference number for this transaction is 0000704.

[Return To Shareholder Account Information](#) [Help](#)

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Exchange Confirmation window

Exchange Confirmation

Overview

The Exchange Confirmation window displays the exchange information submitted to the fund company and provides you with the transaction reference number. The transaction has been submitted to the fund, and cannot be automatically modified or canceled through Vision. Call the fund company's support phone number, included on the confirmation window, if the transaction needs to be modified or canceled.

Procedures

1. Review the submitted exchange transaction information.
2. Retain the transaction reference number for future reference.

Link Definitions

Return to Shareholder Account Information

Returns you to the main Shareholder Account Information window.

Display Field Definitions

(Listed in window order.)

Account

Displays the shareholder's account number, as identified by the fund company.

Tax ID/SSN

Displays the tax ID associated with the account. A shareholder's tax identification number is either a Social Security number or an employer identification number.

Exchange Confirmation

Displays the redemption information submitted to the fund company, including the amount of the exchange, the fund number and name, account number, and the transaction reference number.

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PRINT OF DRAWINGS
AS ORIGINAL FILED

Vision

Vision Mutual Fund Gateway®

Training Guide

New Account Establishment

November 1999

DST
SYSTEMS

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November 1999

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Introduction

What is Vision?

DST's Vision Mutual Fund Gateway is an interactive Web site, located at <http://www.dstvision.com> (<http://www.dstvision128.com>), that provides financial intermediaries, such as broker/dealers and financial advisors, the ability to access fund, shareowner account, and dealer information in a real-time environment through the Internet. Information such as shareowner positions, account options, transaction histories, fund pricing and yields are some of the features available through Vision. With proper authorization, Vision also allows the financial intermediary to execute transactions such as exchanges, redemptions, and purchases.

The Vision new account interface allows the financial intermediary to establish and settle a new account real time. This will save the financial intermediary from having to complete a paper application, attaching a check, and mailing it to the mutual fund.

Vision Advantages

Vision was designed and developed specifically for the financial intermediary. We have focused on providing the financial professional with a truly friendly product that will make a tremendous impact on daily operations efficiency.

Vision provides:

- single logon access for all authorized fund groups
- real-time, up-to-date fund and shareholder account information
- transaction processing
- new account establishment
- intranet or extranet access

New Account Establishment Options

Vision offers four new account establishment options:

- **Establish the new account electronically and settle the initial purchase through ACH**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account electronically via an on-demand ACH (Automated Clearinghouse)

from the shareowner's checking account. The ACH purchase for new accounts will be processed like any other ACH transaction. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.

- **Establish the new account electronically and waive the initial investment**—The financial intermediary completes an application online, establishes the new account at the fund, waives the initial investment and settles the account electronically via ACH automatic investment. The trade date for settlement of the account will be determined by the fund's ACH processing rules. The intermediary may also print a copy of the application for the customer's signature.
- **Establish the new account electronically and settle the initial purchase by check**—The financial intermediary completes an application online, establishes the new account at the fund, and settles the account by check. The broker/dealer attaches the shareholder's check to a printed remittance form and mails it to the fund.
- **Mail the new account application to the fund and settle the initial purchase by check**—The financial intermediary completes an application online and prints the application form. The shareholder signs the application and pays the initial investment by check. The broker/dealer attaches the shareholder's check to the application and mails it to the fund. The account will not be established until the application is processed by the transfer agency.

Using This Guide

The Vision New Account Establishment Training Guide is composed of the following sections:

- Chapter 1: Explains how to log on to the Vision Mutual Fund Gateway Internet site and select a fund management company.
- Chapters 2-10: Describes, in detail, how to use Vision to establish a new account, print a suitability form, and print an account application/remittance form.
- Chapter 11: Explains signing up for Vision, changing your password, and obtaining technical support.

Each chapter includes the following information:

- **Vision windows**—Images of each Vision window.
- **Overview**—A high-level description of the information displayed on each window.
- **Procedures**—The steps that must be completed on the window before continuing to the next window.
- **Entry Field Definitions**—The name and description of all fields that require entry or selection of information.

- **Display Field Definitions**—The name and description of all fields that display information.
- **Link Definitions**—Describes hyperlinks to other windows within Vision/

Security on the Vision Web Site

Vision is secured by operator ID and password. All Vision users will be issued a Vision ID and Password. Sharing an ID is not recommended. When the password expires is invalid, the user will be prompted for a new or valid password.

See *Chapter 1: Accessing Vision Mutual Fund Gateway* for instructions on entering your operator ID and password, and for accessing the Vision Web site.

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NOTES

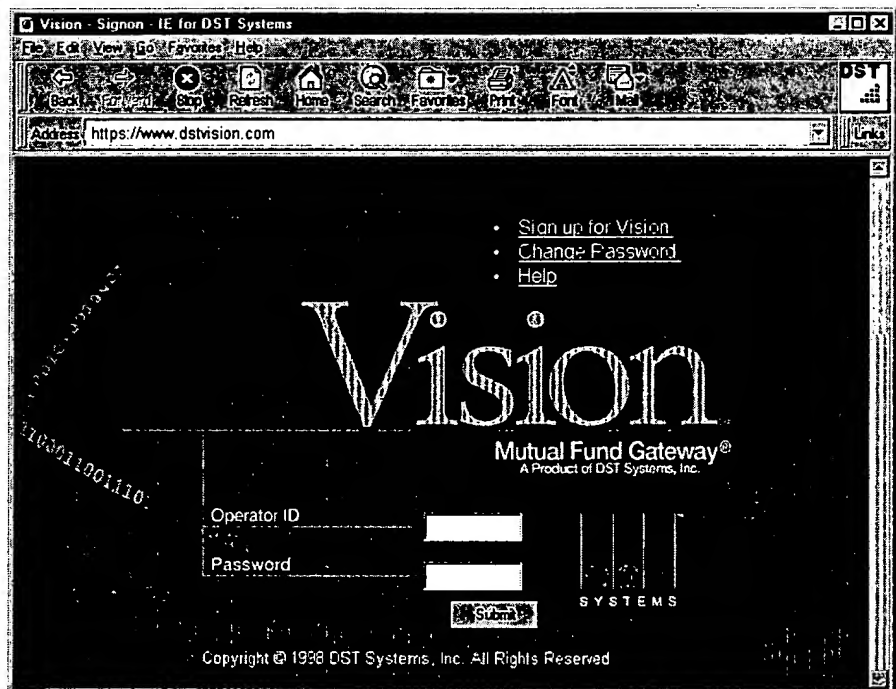
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Chapter 1:

Accessing Vision Mutual Fund Gateway

Vision may be accessed by typing <http://www.dstvision.com> into the address box of your browser. If the fund requires 128-bit encryption, type <http://www.dstvision128.com>.

In order to sign onto Vision, you must have an assigned operator ID.



Vision Sign-On window

Vision Sign-On

Overview

The Vision Sign-On window enables you to sign on to the system.

All you need to use Vision is an Internet browser. Vision supports the latest versions of Microsoft Internet Explorer and Netscape Navigator/Communicator browsers. A monitor resolution of 800x600 is recommended.

Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your password in the Password field.
3. Click **Submit**.

The Vision Mutual Fund Gateway Internet Agreement window displays.

Entry Field Definitions

Operator ID

Vision is secured by operator ID, which can be restricted at the dealer, dealer/branch, or dealer/representative level or by tax ID. The type of security associated with your Operator ID will affect the account information displayed on Vision windows. Your ID is assigned by the Vision Group ID and will be from four to eight alphanumeric characters long. To obtain an ID, go to the Vision enrollment Web site at <http://www.dstvisioninfo.com> and complete the online enrollment form. If the ID is not used within seven days of being assigned, or if there is no activity on the ID for 60 days, the ID will be disabled. To reset your ID, contact the DST Help Desk at (800) 228-3574.

Password

Your password must be a minimum of seven and a maximum of eight characters long. The password must contain at least one non-alpha, non-numeric character from the following list: !@#%_&*()-/?_+=/. The password will appear as a series of asterisks. After three incorrect attempts to enter your password, your operator ID will be disabled. To obtain an initial password for your operator ID, contact the Vision group at (816) 843-6712. To reset your password, contact the DST Help Desk at (800) 228-3574.

Note: If your ID is reset, your password will default to the initial password assigned by the Vision Group.

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Procedures

1. Type your alphanumeric ID in the Operator ID field.
2. Type your current password in the Password field. If your Vision sign-on ID is disabled, contact the DST Help Desk at 1-800-228-3574 to reset your sign-on ID and password.
3. Type your new password in the Change Password field. The password must be a minimum of seven characters and a maximum of eight characters long and must contain at least one non-alpha, non-numeric character from the following list: ! @ # % _ & * () - / ? = + .
4. Type your new password a second time in the Verify Password field.
5. Click **Submit**.

Note: Type your new password exactly as you typed it in the Change Password field. If you do not verify your password correctly, an error message will result. Use your browser's Back button to attempt to change the password again.

Your password will be updated and the Vision Agreement window will appear.

Vision Internet Agreement

Procedures

The Vision Mutual Fund Gateway Internet Agreement appears the first time you log on, and will appear every 150 days after that for each operator ID. Click **I Agree** once you have read the agreement.

The Management Company Selection window displays. If your Vision ID has access to only one management company, the Management Company Selection window will be bypassed and the Management Company Menu displays.

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Vision® Agreement

(Please review the terms and conditions of the Vision agreement. To continue, scroll to the end of the agreement and click on I agree.)

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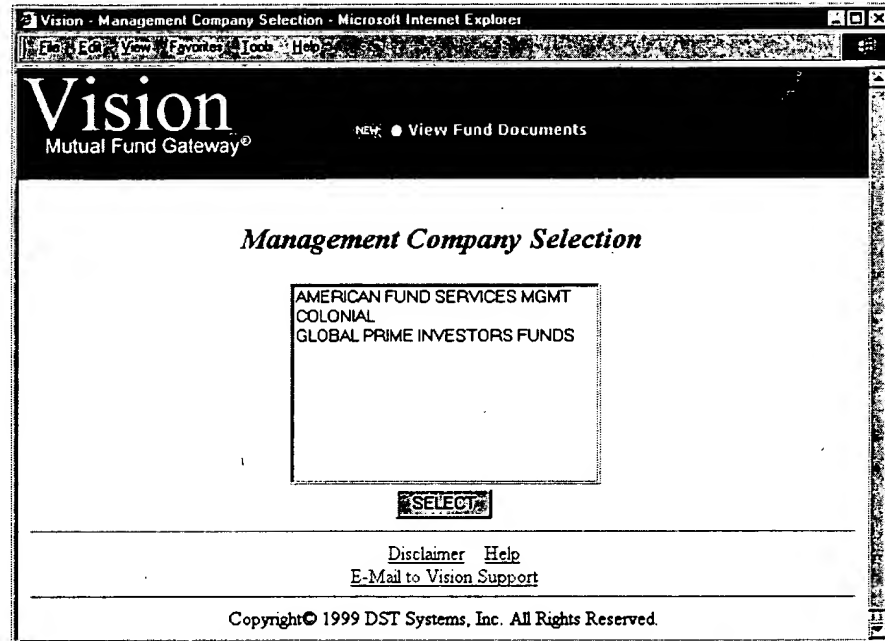
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I AGREE

Vision Internet Agreement

The Management Company Selection window displays. If your Vision ID has access to only one management company, the Management Company Selection window will be bypassed and the Management Company Menu displays.

Management Company Selection



Vision Management Company Selection Window

Overview

The Management Company Selection window enables you to select from a list of fund management companies the use Vision Mutual Fund Gateway.

Procedures

1. Highlight the desired management company from the list box.

Note: Vision will list only management companies for which you have access. To scroll through the list, click the up or down arrow button.

2. Click Select.

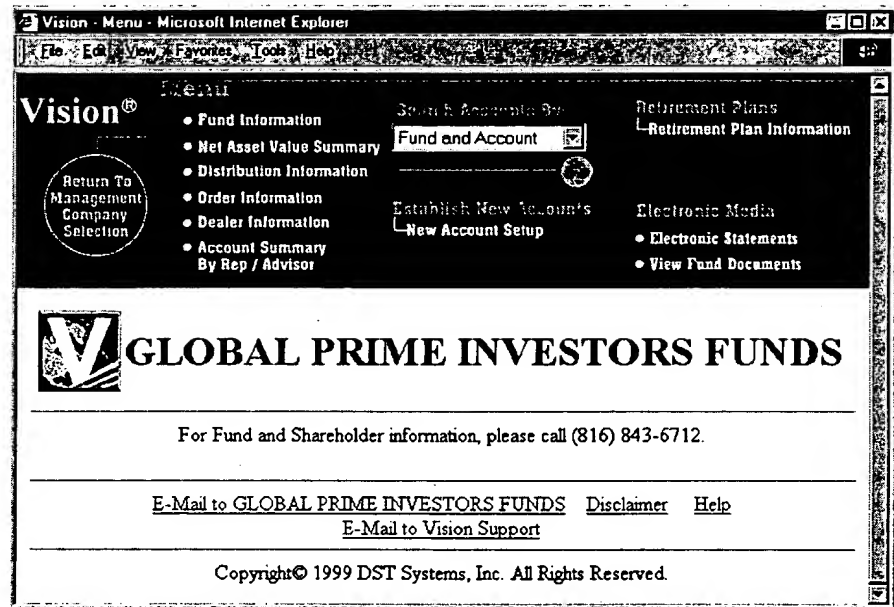
The Management Company Menu window displays.

THE 30

Chapter 2:

New Account Establishment

In order to establish a new shareholder account, select **New Account Setup** from the Management Company Menu.



Management Company Menu

Overview

The Management Company Menu window provides options for establishing new accounts, as well as accessing detailed information about the management company.

Procedures

Click on the **New Account Setup** option to establish a new shareholder account. The Enter Representative Information window displays.

Link Definitions

Return to Management Company Selection

Returns you to the Management Company Selection window.

Fund Information

Displays a specific fund's net asset value (NAV), daily dividend rate, yields, total returns, average maturity, redemption charge, and exchange charge for a specified date. The most current information will be displayed unless a specific date is requested.

Net Asset Value Summary

Displays the net asset value (NAV) for each fund within the mutual fund family. The most current information will be displayed unless a specific date is requested.

Distribution Information

Displays a specific fund's dividend and capital gain information (including a record date, dividend and capital gain rate and price, reinvestment price and payable and reinvestment date).

Order Information

Displays specific fund order information (including dealer registration, gross amount, trade price, shares, NAV, dealer net amount, trade date, and sales charge). Order information can be retrieved by entering an order number or an NSCC Fund/Serv control number.

Dealer Information

Displays dealer summary information at the dealer or dealer/branch level. Dealer information includes the dealer's registration, total assets, number of open and closed accounts, total accounts by matrix level, order summary information, and fund level assets.

Account Summary by Rep/Advisor

Displays representative-level account summary information (including fund number, number of accounts by fund, share volume by fund, assets by fund, and totals).

Search Accounts By

Dealer Account (BIN)

Enables you to retrieve shareholder account information by dealer account number within a specific fund or across all funds in a family of funds.

Fund and Account

Enables you to retrieve shareholder account information by fund account number within a specific fund or across all funds in a family of funds.

Shareholder Name

Enables you to retrieve shareholder account information by shareholder name within a specific fund or across all funds in a family of funds

Tax ID/SSN

Enables you to retrieve shareholder account information by shareholder tax ID or social security number within a specific fund or across all funds in a family of funds.

Rep/Advisor

Enables you to retrieve shareholder account information by representative or advisor number within a specific fund or across all funds in a family of funds. You may retrieve and sort accounts by the following criteria:

- tax ID number and ZIP code
 - cumulative discount number and ZIP code
 - fund number and account number
 - alphabetically by shareholder name
-

Establish New Accounts

New Account Setup

Enables you to establish a new shareholder account.

Retirement Plans

Retirement Plan Information

(appears only if the management company supports this option)

This new feature on the Vision Menu provides access to information about defined contribution plans including:

- plan assets and year-to-date contributions
 - price and yield information
 - summary of plan participants
 - loan and withdrawal information by participant
-

A hyperlink near the bottom of the Vision Menu opens a window that allows you to e-mail questions and comments directly to the fund management company. The Comments field is required. Add your name, phone number or e-mail address or call the fund company if you would like a response.

Enter Representative Information

Dealer Number (Unrestricted or Tax ID Security)

If the operator ID has unrestricted or tax ID security, the operator manually enters the dealer number, branch number, and representative number.

Dealer Number (Dealer Security)

If the Operator has dealer security, the dealer number will be pre-filled and the operator manually enters the branch number and representative number.

Vision - New Account Setup - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the Next button to continue.

Dealer Number: 0050000 (IMPO)
 Branch Number:
 Representative Number:
 Representative Name: (optional)
 Representative Phone Number: (optional)

Next

Return to Menu | Disclaimer | Help
E-Mail to VisionSupport

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Enter Representative Information—Dealer Number

0047637-43069

Dealer Number (Multiple)

If operator security includes access to multiple dealers, this field becomes a drop-down list box.

Vision - New Account Setup - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the **Next** button to continue.

Dealer: 0048260 EDWARD G. J. [v]

Branch Number: []

Representative Number: []

Representative Name: [] (optional)

Representative Phone Number: [] [] [] (optional)

[Next]

[Return to Menu](#) [Disclaimer](#) [Help](#)
[E-Mail to Vision Support](#)

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Enter Representative Information—Multiple Dealer Numbers

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Branch Number

The dealer's branch office identification number is pre-filled if operator security provides access to one dealer and one branch office. If the branch number specified is not valid, the default branch office will appear on the verification and application windows.

Enter Representative Information—Branch Number

660537 4832460

Dealer/Branch (Multiple)

If operator security includes access to multiple dealer/branch combinations, the **Dealer Number** field and the **Branch Number** field will be replaced by the **Dealer/Branch** drop-down list box. Regardless of operator security, the dealer/branch number is required to establish new accounts.

Vision - New Account Setup - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the Next button to continue.

Dealer/Branch: 0048280 EDWARD D J/008

Representative Number:

Representative Name: (optional)

Representative Phone Number: - - (optional)

Next

Return to Menu Disclaimer Help
E-Mail to Vision Support

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Enter Representative Information—Multiple Dealer/Branch Numbers

09475337 123099

Representative Number

The representative's identification number is pre-filled if operator security includes access to one dealer and one representative number.

3 Vision - New Account Setup - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account

Enter Representative Information

The following information will be displayed on the application and/or submitted to the fund company. Please complete the required information and press the Next button to continue.

Dealer Number: 0050000 — IMPO

Branch Number:

Representative Number: 005

Representative Name: (optional)

Representative Phone Number: (optional)

Next

Return to Menu | Discontinue | Help

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Enter Representative Information—Representative Number

09475637-123099

Dealer/Representative (Multiple)

If operator security includes access to multiple dealer/representative combinations, the **Dealer Number** and **Representative Number** fields will be replaced by a **Dealer/Representative** drop-down list box. The representative number is required to establish new accounts regardless of operator security.

Enter Representative Information—Multiple Dealer/Representative Numbers

Display Field Definitions

Representative Name

This optional field allows you to enter the name of the representative.

Representative Telephone Number

This optional field allows you to enter the representative's phone number.

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Enter the required information and click Next. The Select Registration Type window displays. Select the type of account to be established and click Next.

Select Registration Type

Depending on the account type selected, one of the following windows will appear.

Enter Registration Information—Individual (Female or Male)

2 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - JOINT TENANT

Enter Registration Information
Please enter the required information and press the Next button to continue.

Primary Shareowner

First Name: Middle Initial: Last Name: SSN: Citizenship: ☐ US Citizen ☐ Resident Alien

Additional Shareowners

First Name	Middle Initial	Last Name	SSN (Optional)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>

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Enter Registration Information—Joint (Joint Tenant, Joint Tenant in Common, Joint Tenant in Entirety)

2 Vision - New Account Setup - TRADITIONAL IRA - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - TRADITIONAL IRA

Enter Registration Information
Please enter the required information and press the Next button to continue.

First Name: Middle Initial: Last Name: SSN: Birthdate: Citizenship: ☐ US Citizen ☐ Resident Alien Marital Status: ☐ Married ☐ Single

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Enter Registration Information—IRA (Roth or Traditional)

660627-423450

The screenshot shows a web browser window titled "Vision - New Account Setup - UNIFORM GIFTS/TRANS TO MINOR - Microsoft Internet Explorer". The page header for "GLOBAL PRIME INVESTORS FUNDS" includes the instruction "Establish New Account - UNIFORM GIFTS/TRANS TO MINOR". The main heading is "Enter Registration Information", followed by the instruction "Please enter the required information and press the Next button to continue." The form is divided into two sections: "Custodian" and "Minor". The "Custodian" section includes fields for First Name, Middle Initial, Last Name, and Donor State (a dropdown menu), as well as radio buttons for Citizenship: "US Citizen" and "Resident Alien". The "Minor" section includes fields for First Name, Middle Initial, Last Name, SSN (with a note "Optional for Minor SSN"), and Birthdate. Navigation buttons include "Next", "Back to Registration Type", "Return to Menu", "Log Off", "Help", and "E-Mail to Vision Guyport". The footer contains the copyright notice "Copyright © 1999 DST Systems, Inc. All Rights Reserved".

Enter Registration Information—Uniform Gifts/Transfer to Minor

Note that the social security number is required for US citizens or resident aliens and optional for joint shareowners and minors. If the fund company allows non-resident alien accounts, you may leave this field blank or enter all zeroes to establish a foreign account without a social security number.

Enter the registration information and click Next. The Enter Shareowner Address window appears.

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Enter Shareowner's Address

The Shareowner's name and address are required. The business and home phone are optional fields. The Donor State is required for Uniform Gift/Transfer to Minor.

Enter the appropriate information and click Next. The Verify Shareowner's Address window appears.

Verify Shareowner's Address

If changes are required, click **Back** to return to the Shareowner Address window.
If the information is correct, click **Accept Address**.

- **Fiduciary accounts**—The Enter Beneficiary Information window appears (see below).
- **Non-Fiduciary Accounts**—The Select a Fund window appears (see page 33).

2 Vision - New Account Setup - TRADITIONAL IRA - Microsoft Internet Explorer

File Edit View Favorites Tools Help

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - TRADITIONAL IRA

Enter Beneficiary Information

Please enter the name, social security number, birthdate, and relationship for each beneficiary and press the *Next* button to continue. If you wish to designate additional beneficiaries, please contact the mutual fund company. Percentage for each IRA's primary and/or secondary beneficiary must add up to 100%.

Primary Beneficiary

The following individual(s) designated as primary beneficiary(ies) will receive payment of the value of the IRA account upon the shareowner's death. If no percentage is specified, primary beneficiaries will share the account balance equally.

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Secondary Beneficiary

If no primary beneficiary(ies) is(are) living at the time of the shareowner's death, the balance will be distributed to the secondary beneficiary(ies) below. If no percentage is specified, secondary beneficiaries will share the account balance equally.

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

Name: <input type="text"/>	Name: <input type="text"/>
SSN: <input type="text"/>	SSN: <input type="text"/>
Birthdate: <input type="text"/>	Birthdate: <input type="text"/>
Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>	Relationship: <input type="radio"/> Spouse <input type="radio"/> Other <input type="text"/>
% of Account: <input type="text"/>	% of Account: <input type="text"/>

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Enter Beneficiary Information window (fiduciary accounts only)

Primary Beneficiary

Enter the name, social security number, date of birth, relationship ("spouse" or "other") and % of Account of the individual(s) who should receive payment of the value of the IRA account upon the shareowner's death. The total of % of Account fields for all primary beneficiaries must equal 100%. If no percentage is specified, the account balance will be divided equally among all primary beneficiaries.

Secondary Beneficiary

Enter the name, social security number, date of birth, relationship ("spouse" or "other") and % of Account of the individual(s) who should receive payment of the value of the IRA account if no primary beneficiaries are living at the time of the shareowner's death. The total of % of Account fields for all secondary beneficiaries must equal 100%. If no percentage is specified, the account balance will be divided equally among all secondary beneficiaries.

Click Next to advance to the Select a Fund window.

Fund Name	Share Class	CUSIP	Ticker Symbol
<input type="checkbox"/> SHORT TERM MUNICIPAL			
<input type="checkbox"/> CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	CUSIP3400	CSSSM
<input type="checkbox"/> MONEY MARKET			
<input type="checkbox"/> NO-LOAD FUND	CLASS A SHARES	CUSIP9300	CSMBF
<input type="checkbox"/> STATE MUNICIPAL - SHORT TERM			
<input type="checkbox"/> CLIENT SERVICES LOAD FUND	CLASS A SHARES	331545101	CSPAF
<input type="checkbox"/> CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	54400410T	CSMMF

Select a Fund window

To select a fund, check the box next to the Fund Name. You may select a maximum of 20 funds. Then click Next to continue. The Enter Investment Amount window appears.

2 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

GLOBAL PRIME INVESTOR FUNDS
Establish New Account - TRADITIONAL IRA

Enter Investment Amount

New accounts will be established in the fund(s) which have a dollar amount entered. Please enter a dollar amount for each fund to be established, select a payment type and press the Next button to continue. If the management company allows accounts to be established without an initial investment, the Waive Initial Investment column will display. When waiving the minimum initial investment, enter either a dollar amount below the Minimum Investment in the Amount field or select the Waive Initial Investment checkbox for each fund.

WARNING: Initial purchases processed by electronically debiting the customer's bank account after the mutual fund's processing cut off time will be processed on the next business day.

Fund Name	Share Class	Minimum Investment	Current Year \$ Amount	Waive Initial Investments
CLIENT SERVICES MONEY MARKET FUND	CLASS A SHARES	\$ 50.00		<input type="checkbox"/>
NO-LOAD FUND	CLASS A SHARES	\$ 100.00		<input type="checkbox"/>
CLIENT SERVICES LOAD FUND	CLASS A SHARES	\$ 150.00		<input type="checkbox"/>
CLIENT SERVICES LOAD TEST FUND	CLASS A SHARES	\$ 200.00		<input type="checkbox"/>

IRA Fees and Information IRA Fee Amount

(the IRA Fee amount may only be paid by check)

Payment Type - Applies to all funds selected
(Payment type not applicable when waiving the initial investment)

☐ Electronically Debit Customer's Bank Account
☐ Mail Check to the fund

Next

Back to Fund Selection

[Return to Menu] [Exit] [F2: Save] [F4: Go to Vision Support]

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Enter Investment Amount

Fund Name

Displays the names of funds available for new account establishment through Vision.

Share Class

Displays the share class for all funds selected on the Select a Fund window.

Minimum Investment

Displays the minimum investment dollar amount required for the initial purchase.

\$ Amount (Non-IRA Accounts Only)

Enables you to enter the new account initial purchase dollar amount. Whole dollar purchases do not require a decimal point. An entry in the \$ Amount field is required unless the **Waive Initial Investments** option is checked.

Prior Year \$ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **prior** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year \$ Amount** or the **Current Year \$ Amount** field is required unless the **Waive Initial Investments** option is checked.

Note: This entry field is available only between January 1 and mid-April (usually April 15).

Current Year \$ Amount (IRA Accounts Only)

Enables you to enter the initial IRA contribution dollar amount for the **current** tax year. Whole dollar purchases do not require a decimal point. An entry in either the **Prior Year \$ Amount** or the **Current Year \$ Amount** field is required unless the **Waive Initial Investments** option is selected.

Waive Initial Investment

If the fund company allows you to waive the initial investment, you may select a fund by checking the **Waive Initial Investments** box or by entering an amount that is less than the **Minimum Investment** in the **Amount** (or **Current Year \$ Amount**) field.

If the fund does not allow waiver of the initial investment, the **Waive Initial Investments** column will not appear and the **Amount** (or **Current Year \$ Amount**) must be equal to or greater than the **Minimum Investment**.

Note: Automatic investment is required if the minimum initial investment is waived.

IRA Fee Amount (Fiduciary Accounts Only)

If the account type is Roth or Traditional IRA, you must enter an IRA fee amount. Click the [IRA Fees and Information](#) hyperlink to calculate the required fee.

Note: The IRA fee must be paid by check, even if the initial investment amount will be electronically debited from the customer's bank account.

Payment Type

- If you select **Electronically Debit Customer's Bank Account**, the Enter Bank Information for Initial Investment window appears.
 - If you select **Mail Check to the fund**, the Setup Account Options window appears.
 - If you select **Waive Initial Investments**, you do not need to specify a Payment Type.
-

3 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - TRADITIONAL IRA

Enter Bank Information for Initial Investment
Please complete the required information and press the Next button to continue.

Enter a new Routing number and Bank Account number below:
Please refer to your check information for entry in the following fields.

Must be a Checking Account 9999
PR-123456789

Name on Account: Date:

Pay to the order of: \$ Dollars

Centre Populaire Des Jardins

Routing number: Bank Account number:
(The routing number is the first 9 digits, followed by the bank account number)

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Enter Bank Information for Initial Investment

Enter the bank routing number and account number for the shareholder's account to debit for the initial purchase. The bank routing number will be verified.

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Set Up Account Options

The following options are available for the selected account(s). If no options are desired, please refer to the *Set Up Broker Options* section below, or press the **Next** button to complete the application process.

- Set Up Distribution Options**
(Defaults to reinvest for both dividends and capital gains)
- Set Up Automatic Investment**
(Automatic investments required when waiving minimum initial investments)
- Set Up Automatic Withdrawal**
- Set Up Rights of Accumulation (ROA)/Letter of Intent (LOI)**
- Set Up Interest in Party**
- Set Up Telephone Redemption**
(Defaults to allow telephone redemptions by check)
- Note: Checkwriting Redemption**
(Please contact the mutual fund company to establish checkwriting privileges)

Set Up Broker Options

The following are broker specific options. Only one option may be selected. If no options are desired, please press the **Next** button to complete the application process.

- Set Up Survivorship Form**
- Set Up Brokerage Application**

Next

Back to Investment Amount

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Set Up Account Options

The Set Up Account Options window is a menu of options available for the selected fund(s). Each account may have its own options with the exception of Letter of Intent (LOI) and Rights of Accumulation (ROA). Account option availability is determined by the fund. There are seven account options and two broker options.

Note: The following options will appear on the Set Up Account Options menu for the fund(s) selected only if the fund company allows the option.

Account Options

- **Distribution Options** are special dividend and capital gains processing rules.
- **Automatic Investment** allows systematic ACH purchases. Automatic investments are required if the operator waives initial investments.
- **Automatic Withdrawal** permits systematic withdrawals.

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- **Rights of Accumulation (ROA)/Letter of Intent (LOI)** provides access to a series of menus that allow the user to link the new account to an existing LOI and/or ROA or to establish a new LOI and/or ROA. If Auto ROA is enabled for this fund and social code, a message will indicate that "Groupings for Rights of Accumulation (ROA) are established systematically" and the ROA option will be unavailable (see page 62).
- **Interested Party** lets you list the names and addresses of up to four interested parties.
- **Telephone Redemption** enables telephone redemption options for new accounts.
- **Telephone Exchanges** offer telephone exchange options for new accounts.
- **Checkwriting Redemption** indicates that check-writing privileges may be established by contacting the mutual fund company.

Broker Options

- **Suitability Form**—The new account suitability form helps the operator collect personal information to ensure that their customers' financial backgrounds are compatible with their investment selections.
- **Brokerage Application**—The brokerage application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchases by new customers, and use the less detailed suitability form for subsequent purchases.

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Chapter 3:

Distribution Options

Distribution options provide the ability to determine how dividends and capital gains will be processed for new accounts.

When cash is selected for either dividends, capital gains, or both, the operator can select the form of payout. Only one form of payout is allowed if the cash option is selected for both dividends and capital gains.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual/Male

Select Distribution Options

Please select the desired distribution options for both dividends and capital gains. If no selection is made, new accounts will be established with reinvest dividends and capital gains. When cash is selected as a distribution type, please select a cash distribution option. After making your selections, press the **Next** button to continue.

Fund(s) Selected Today	Dividends	Capital Gains	Cash Distributions
CLIENT SERVICES SPECIALIZED PORTFOLIOS	<input type="radio"/> Reinvest <input type="radio"/> Cash	<input type="radio"/> Reinvest <input type="radio"/> Cash	<input type="radio"/> Pay by check <input type="radio"/> Pay by direct deposit
NO LOAD FUND	<input type="radio"/> Reinvest <input type="radio"/> Cash	<input type="radio"/> Reinvest <input type="radio"/> Cash	<input type="radio"/> Pay by check <input type="radio"/> Pay by direct deposit

Next

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Select Distribution Options

Funds Selected Today

Displays the name of the investment selection chosen to establish a new account.

Dividend Reinvest

Reinvest is the default.

Dividend Cash

Provides the ability to set up dividends earned to pay out in cash. Within the Cash Option, operators may select one of three options: **Pay by Check**, **Pay by Direct Deposit** or **Deposit into Existing Account**.

Capital Gains Reinvest

Capital Gains reinvest is the default.

Capital Gains Cash

Provides the ability to set up capital gains earned to pay out in cash. Within this option, operators may select one of three options: **Pay by Check**, **Pay by Direct Deposit** or **Deposit into Existing Account**.

Click **Next** to continue. If **Cash** is selected as the distribution option and **Deposit to Existing Account** is selected as the method of distribution, the Enter Deposit to Existing Account window appears.

Enter Deposit to Existing Account

Select a fund from the pull-down list, enter the existing account number and click **Next**. The Verify Distribution Options window appears.

If **Cash** is selected as the distribution option and **Direct Deposit** is selected as the method of distribution, the Distribution Options Verification window appears.

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2 Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

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GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify Distribution Options:

Please page down to review the information below and use the back button to return to the appropriate screen to make any changes. Please press the Next button to continue.

Distribution:	CLIENT SERVICES	Pay dividends by check
	SPECIALIZED PORTFOLIOS	Pay capital gains by check
	CLIENT SERVICES MONEY MARKET FUND	Pay dividends by direct deposit
		Pay capital gains by direct deposit
	NO-LOAD FUND	Reinvest dividends and capital gains to CLIENT SERVICES LOAD TEST FUND

Account: 55555

Registration Information

INV. FIDUCIARY TRUST CO. CUST

IRA/ROTH/401K/529

127 W 10TH ST. FL3

KANSAS CITY MO 64105-1716

Next

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Verify Distribution Options

If all options are correct, click Next. The Bank Instructions window appears.

If all selections are correct, click Next. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number. See page **Error!** **Bookmark not defined.** for information on the controls in this window.

Click Next to return to the Set Up Account Options window.

NOTES

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Chapter 4:

Automatic Investment

The Enter Automatic Investment window enables you to establish ACH automatic investment features for new accounts. While the Plan Starting Month and Frequency options are the same for all new accounts, the Investment Amount may vary.

Enter Automatic Investment

Plan Starting Month

Select one of the buttons to indicate the month in which systematic investment begins. The current month is the default. The start date will be the first business day of the month selected.

Frequency

Select the frequency by clicking **Every Month** or by checking at least one box to indicate the month(s) in which the systematic investment occurs.

Funds Selected Today

Displays a list of the funds that allow automatic investment from the list of funds selected in the Select Investment window. If the initial investment was waived on the Select Investments page, two red asterisks to the left of the fund name indicate that automatic investment is required.

Amount

Input the amount to be invested based on the investment frequency. If a systematic plan is selected, at least one field is required.

Minimum Investment

Displays the mutual fund's minimum investment amount.

Investment Days

Select the day(s) of the month to invest in the new account. Two days per fund may be selected by using the drop-down lists.

Click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number.

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Chapter 5:

Automatic Withdrawal

The Enter Automatic Withdrawal window enables you to specify automatic withdrawal options for new accounts. While the Plan Starting Month and Frequency options are the same for all new accounts, the withdrawal amount may vary.

Enter Automatic Withdrawal

Plan Starting Month

Indicate the month in which the systematic withdrawal begins by selecting one button. The button for the current month is the default. The start date will be the first business day of the month selected.

Frequency

Indicate the frequency of automatic withdrawal by clicking the **Every Month** button or checking at least one withdrawal month.

Funds Selected Today

Displays the funds that allow ACH or check (draft) systematic withdrawals from the list of funds selected in the Select Investment window. An error message will appear next to the fund name if the fund selected does not allow automatic withdrawal.

Amount

Input the amount to be withdrawn based on the frequency specified. If a systematic plan is selected, at least one field is required.

Withdrawal Day of Month

Specify the day of the month on which withdrawals will be processed by selecting one day per fund from the drop-down list.

Note: If Java script is disabled on your Internet browser, this field will not appear on the Enter Automatic Withdrawal window. Fill in the other fields and click Next to access an additional window where you can specify the withdrawal day.

Payment Type

- **Pay by Check.** Click this button to indicate that the withdrawal should be issued in check form and sent to the shareowner's address as indicated on the Shareowner Address of Record window.
- **Pay by Direct Deposit.** Click this button to indicate that ACH withdrawals should be sent to the bank account specified on the Bank Account Information window. This is the default payment type.

Click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number.

Chapter 6:

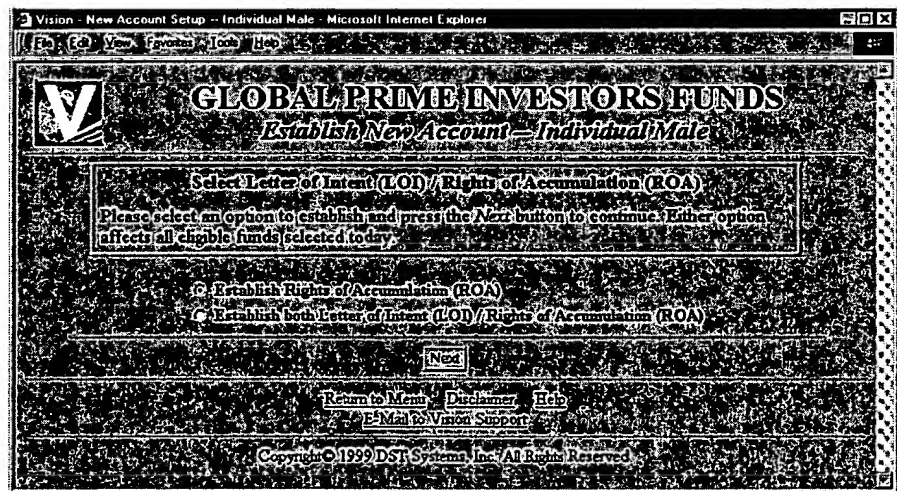
Rights of Accumulation/ Letter of Intent

The Rights of Accumulation (ROA)/Letter of Intent (LOI) option allows you to link new accounts to:

- an existing ROA
- a new ROA
- an existing LOI
- a new LOI

or any combination thereof.

If you selected **Setup Rights of Accumulation (ROA)/Letter of Intent (LOI)** from the Setup Account window, the Select Letter of Intent (LOI)/Rights of Accumulation (ROA) window appears. Choose an option and click **Next**.



Select Letter of Intent (LOI)/Rights of Accumulation (ROA)

Note: If Auto ROA is enabled for this management company, this window will not appear and you will advance to the Select LOI option window (see Select LOI Option (Auto ROA) section).

Establish ROA

If you select **Establish Rights of Accumulation (ROA)**, the Select Rights of Accumulation (ROA) Option window appears.

Vision - New Account Setup - Individual Male - Microsoft Internet Explorer

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Select Rights of Accumulation (ROA) Option

This option applies to selected funds that allow Rights of Accumulation agreements. Please select an option and press the Next button to continue.

☒ Link new accounts to an existing ROA number.

Select a fund and enter the account number.

Existing Fund: CLIENT SERVICES SPECIALIZED PORTFOLIOS

Account:

☐ Link new accounts to a new ROA number.

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Select Rights of Accumulation (ROA) Option

Link New Accounts to an Existing ROA Number

Existing Fund

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Account Number

Enter the account number of an account that contains an ROA number that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing ROA Number window appears.

Verify Existing ROA Number

ROA Number

The number assigned to the existing fund and account for rights of accumulation (ROA).

Existing Fund

The fund name for the existing ROA.

Existing Account

The account number for the existing ROA.

Registration Info

Displays up to six lines of registration information for the existing fund account.

If all this information is correct, click **Next** to return to the Setup Account Options window.

Link New Accounts to a New ROA Number

If you select this option, the Establish New ROA window appears.

Establish New ROA

Fund Name

Use the drop-down box to select a fund that contains an ROA number that should be linked to the new accounts.

Existing Account Number

Enter the number of the existing account that should be linked to the new ROA number.

When you have entered the required information, click **Next**. The Verify New ROA Account Linking window appears.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify New ROA Account Linking
Please review the account information and press the **Next** button to continue.

Accounts not Available for Linking
The following accounts will not be linked with the new ROA because they are already linked to an existing ROA number.

Fund Name	Account Number	ROA Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	12345	10099

Accounts Not Found
The following accounts specified on the Establish New ROA page are not valid accounts and will not be linked with the new ROA number.

Fund Name	Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	33333

Accounts to be Linked with the New ROA
The following existing accounts will be linked with the new ROA number. Uncheck the accounts that should not be linked.

Confirm	Fund Name	Account Number	Registration
<input checked="" type="checkbox"/>	CLIENT SERVICES SPECIALIZED PORTFOLIOS	55555	LARRY FUSGORNE 142 PROVIDENCE LAWRENCE KS 66049-1628

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Verify New ROA Account Linking

Accounts not Available for Linking

Indicates the fund, account number and ROA number for accounts already linked to an existing ROA. These accounts will not be linked to the new ROA number.

Accounts Not Found

Indicates invalid account numbers. These accounts will not be linked to the new ROA number.

Accounts to be Linked with the New ROA

Indicates that the fund will be linked to a new ROA number. Uncheck any funds that should not be linked.

Once you have confirmed that this information is correct, click **Next** to return to the Setup Account Options window.

Establish Both LOI and ROA

If you select Establish both Letter of Intent (LOI) and Rights of Accumulation (ROA) the Select Letter of Intent (LOI)/Rights of Accumulation (ROA) Option window appears.

Select Letter of Intent (LOI)/Rights of Accumulation (ROA) Option

Link New Accounts to Existing LOI and ROA Numbers

Existing Fund

Use the drop-down list to select the name of a fund containing an LOI and/or ROA number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI and/or ROA number that should be linked to the new accounts.

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Click Next to continue. The Verify Existing LOI/ROA Numbers window appears.

Verify Existing LOI/ROA Numbers

ROA Number

The ROA number assigned to the existing fund.

LOI Number

The LOI number assigned to the existing fund.

Starting Date

The date the existing LOI was established.

Expiration Date

The date the existing LOI will expire.

Agreement Amount

The LOI agreement amount.

Amount Invested

The amount of money invested to date in the existing LOI.

Amount Due

The amount to be invested in the existing LOI.

Note: Purchase credits will be taken into account when calculating the Amount Due.

Existing Fund

The fund name for the existing LOI.

Existing Account

The account number for the existing LOI.

Registration Info

Displays up to six lines of registration information for the existing fund account.

If all this information is correct, click **Next** to return to the Setup Account Options window.

Link New Accounts to New LOI and ROA Numbers

When this option is selected, the Establish New LOI/ROA window appears.

Establish New LOI/ROA

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI/ROA number.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI/ROA number.

Click **Next** to continue. The Verify New LOI/ROA Account Linking window appears.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify New LOI/ROA Account Linking
Please review the account information and press the Next button to continue.

Accounts not Available for Linking
The following accounts will not be linked with the new LOI/ROA numbers because they are already linked to existing LOI/ROA numbers.

Fund Name	Account Number	LOI Number	ROA Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	12245	241731	10092

Accounts Not Found
The following accounts specified on the Establish New LOI/ROA page are not valid accounts and will not be linked with the new LOI/ROA numbers.

Fund Name	Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	33333

Accounts to be Linked with the New LOI/ROA
The following existing accounts will be linked with the new LOI/ROA numbers. Uncheck the accounts that should not be linked.

Confirm	Fund Name	Account Number	Registration Number
<input checked="" type="checkbox"/>	CLIENT SERVICES SPECIALIZED PORTFOLIOS	55555	LARRY FUSCORNE 142 PROVIDENCE LAWRENCE KS 66049-1628

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Verify New LOI/ROA Account Linking

Accounts not Available for Linking

Displays the fund name, account number, LOI number and ROA number for accounts that are already linked to an existing LOI/ROA. These accounts will not be linked to the new LOI/ROA number.

Accounts Not Found

Indicates invalid account numbers. These accounts will not be linked to the new LOI/ROA number.

Accounts to be Linked with the New LOI/ROA

Displays the fund name, account number and registration information for accounts that will be linked to the new LOI/ROA number. Uncheck any accounts that should not be linked.

Click Next to return to the Setup Account Options window.

Link New Accounts to a New LOI Number and an Existing ROA Number

Existing Fund

Use the drop-down list to select the name of a fund containing an ROA number that should be linked to the new accounts.

Account

Enter the number of the account containing an ROA number that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing ROA Number window appears.

Refer to page 53 for a description of the controls in this window. Enter the required information and click **Next** to advance to the Establish New LOI window.

Establish New LOI

Select an Amount for LOI

This drop-down list contains the available LOI agreement amounts.

Fund Name

Use the drop-down list to select the names of funds that should be linked to the new LOI.

Existing Account Number

Enter the number of the existing account(s) that should be linked to the new LOI.

Enter the required information and click **Next** to continue. The Verify New LOI Account Linking window appears. If there are no existing accounts to link, click **Next** to return to the Setup Account Options window.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Verify New LOI Account Linking
Please review the account information and press the **Next** button to continue.

Accounts not Available for Linking
The following accounts will not be linked with the new LOI number, because they are already linked to an existing LOI number.

Fund Name	Account Number	LOI Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	12245	34731

Accounts Not Found
The following accounts specified on the Verify New LOI page are not valid accounts and will not be linked with the new LOI number.

Fund Name	Account Number
CLIENT SERVICES SPECIALIZED PORTFOLIOS	33333

Accounts to be Linked with the New LOI
The following existing accounts will be linked with the new LOI number. Uncheck the accounts that should not be linked.

Confirm	Fund Name	Account Registration Number
<input checked="" type="checkbox"/>	CLIENT SERVICES SPECIALIZED PORTFOLIOS	55555 BARRY FUSCORNE 142 PROVIDENCE LAWRENCE RS 66049-1623

Next

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[E-Mail to Vision Support](#)

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Verify New LOI Account Linking

Accounts not Available for Linking

Displays the fund name, account number and LOI number for accounts that are already linked to an existing LOI number. These accounts will not be linked to the new LOI number.

Accounts Not Found

Indicates invalid account numbers. These accounts will not be linked to the new LOI number.

Accounts to be Linked with the New LOI

Displays the fund name, account number and registration information for accounts that will be linked to the new LOI number. Uncheck any accounts that should not be linked.

If all this information is correct, click **Next** to return to the Setup Account Options window.

Link New Accounts to an Existing LOI Number and a New ROA Number

Use the drop-down list to select the name of a containing an LOI number that should be linked to the new accounts.

Account

Enter the number of the account containing an LOI that should be linked to the new accounts.

Click **Next** to continue. The Verify Existing LOI Number window appears.

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Verify Existing LOI Number

LOI Number

The LOI number assigned to the existing fund.

Starting Date

The date the existing LOI was established.

Expiration Date

The date the existing LOI will expire.

Agreement Amount

The LOI agreement amount.

Amount Invested

The amount of money invested to date in the existing LOI.

Amount Due

The amount to be invested in the existing LOI.

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Existing Fund

The fund name for the existing LOI.

Existing Account

The account number for the existing LOI.

Registration Info

Displays up to six lines of registration information for the existing fund account.

If all this information is correct, click **Next** to advance to the Establish New ROA window.

Refer to page 50 for a description of the controls in this window. Enter the required information and click **Next** to return to the Setup Account Options window.

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Select LOI Option (Auto ROA)

If the fund company allows Auto ROA, Vision automatically assigns ROA numbers to all qualified related accounts. No ROA options will appear on the Setup Account Options window.

The screenshot shows a web browser window titled "Vision - New Account Setup - Individual Male - Microsoft Internet Explorer". The page header includes the Vision logo and the text "GLOBAL PRIME INVESTORS FUNDS" and "Establish New Account - Individual Male".

The main content area is titled "Setup Account Options". It contains a text box stating: "The following options are available for the selected account(s). If no options are desired, please refer to the Setup Broker Options section below or press the Next button to complete the application process."

Below this text box are several options, each with a "Setup" button and a description:

- Change Distribution Options** (Default: Defaults to reinvest for both dividends and capital gains)
- Letter of Intent (LOI)** (Groupings for Rights of Accumulation (ROA) are established systematically)
- Setup Interested Party**
- Setup Telephone Redemption** (Default: to allow telephone redemptions by check)
- Note: Checkwriting Redemption** (Please contact the mutual fund company to establish checkwriting privileges)

Below these options is a section titled "Setup Broker Options". It contains a text box stating: "The following are broker specific options. If no options are desired, please press the Next button to complete the application process."

At the bottom of the page, there are several buttons: "Next", "Back to Investment Selection", "Return to Menu", "Disclaimer", "Help", and "E-Mail to Vision Support". The footer text reads: "Copyright © 1999 DST Systems, Inc. All Rights Reserved."

Setup Account Options (with Auto ROA)

Click **Letter of Intent (LOI)** to advance to the Select Letter of Intent (LOI) Option window. From this window, you can

- link new accounts to an existing LOI, or
- link new accounts to a New LOI.

Select Letter of Intent (LOI) Option

Link New Accounts to an Existing LOI Number

When you select **Link New Accounts to an Existing LOI Number**, the Verify Existing LOI Number window appears. Refer to page 61 for a description of this window.

If all this information is correct, click **Next** to return to the Setup Account Options window.

Link New Accounts to a New LOI Number

When you select **Link New Accounts to a New LOI Number**, the Establish New LOI window will appear. Refer to page 57 for a description of this window.

Enter the required information and click **Next** to advance to the Verify New LOI Account Linking window. If all this information is correct, click **Next** to return to the Setup Account Options window.

NOTES

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Chapter 7:

Interested Party

You can use the Enter Interested Party window to establish up to four interested parties for each new account. This allows you to mail copies of the shareholder's account confirmations and statements to the designated parties.

GLOBAL PRIME INVESTORS FUNDS
Establish New Account - Individual Male

Enter Interested Party

Please select an address type and enter the name, address, city, state and zip code for each interested party and press the **Next** button to continue. For Domestic address, please type the two character state code following the city. This option affects all funds selected today.

Address Type	Name & Address
<input type="radio"/> Domestic	
<input type="radio"/> Foreign	

Address Type	Name & Address
<input type="radio"/> Domestic	
<input type="radio"/> Foreign	

Address Type	Name & Address
<input type="radio"/> Domestic	
<input type="radio"/> Foreign	

Address Type	Name & Address
<input type="radio"/> Domestic	
<input type="radio"/> Foreign	

Next

[Return to Menu](#) [Print Labels](#) [Help](#)
[E-mail to Vista Support](#)

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Enter Interested Party

Address Type

Designates the address of an interested party as a domestic or foreign address.

Name and Address

Enter the name and address for the Interested Party. Lines 2 through 6 are for an address, city, state and zip code. This information is optional.

Once the information has been entered, click **Next**. Select another account option from the Setup Account Options window.

09475637 433095
660227 20952460

Chapter 8:

Telephone Redemption

The Telephone Redemption window enables you to perform redemptions by telephone. Telephone redemption options vary from fund to fund. Only those options approved by the fund company will appear on this menu.

Fund Selected Today	Telephone Redemption Option
CLIENT SERVICES SPECIALIZED PORTFOLIOS	<input type="radio"/> Allow telephone redemptions by check <input type="radio"/> Allow telephone redemptions by check or direct deposit <input type="radio"/> Do not allow telephone redemptions
CLIENT SERVICES MONEY MARKET FUND	<input type="radio"/> Allow telephone redemptions by check <input type="radio"/> Allow telephone redemptions by check or direct deposit <input type="radio"/> Do not allow telephone redemptions
NO-LOAD FUND	<input type="radio"/> Allow telephone redemptions by check <input type="radio"/> Allow telephone redemptions by check or direct deposit <input type="radio"/> Do not allow telephone redemptions

Select Telephone Redemption

Allow telephone redemptions by check

Click this button to indicate that the telephone redemptions should be issued by check. This is the default.

Allow telephone redemptions by check or direct deposit

Click this button to indicate that telephone redemptions can be issued by either check or ACH.

Do not allow telephone redemptions

Click this button to disallow telephone redemptions for the new accounts.

Click **Next**. A bank instructions window will appear, allowing you to select existing shareowner bank instructions or to create new instructions. If bank instructions are being established for the first time, you will need to enter a routing number and bank account number. Click **Next** to return to the Set Up Account Options window.

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Chapter 9:

Telephone Exchange and Check-Writing Redemptions

Telephone Exchange

The Select Telephone Exchange window provides the ability to establish telephone exchange options for new accounts. Uncheck the box to override the default for funds that establish all new accounts with telephone exchange capability. If the fund does not allow telephone exchange for new accounts, this option will not appear. Click Next to continue.

Select Telephone Exchange

Check-Writing Redemptions

If the fund offers check-writing redemptions, the following message will appear:

PLEASE CONTACT THE MUTUAL FUND COMPANY TO ESTABLISH CHECK-WRITING
PRIVILEGES.

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Chapter 10:

Completing the Application

Brokerage and Suitability Forms

From the Set Up Account options window, the operator can select either one of two forms to determine ensure a good match between the fund, the investment selections, and the customer's financial background. You can access either of these electronic forms any time during new account establishment from the hyperlinks at the bottom of the Set Up Account Options window.

Suitability Form

The New Account Suitability form allows the operator to compile personal information about customers to ensure their financial backgrounds are compatible with their investment selections. This information is not retained by the fund.

Brokerage Application

The Brokerage Application form allows the broker to develop detailed personal and financial profiles of new clients. It provides some of the same information as the Suitability Form, but brokers generally reserve the brokerage application for the initial purchase by a new customer, and complete the less detailed suitability form for subsequent purchases. This information is often used to establish a new account with the brokerage and is not retained by the fund.

0044337 4632450

New Account Suitability Information

C:\newacc\suitabilityapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Enter New Account Suitability Information

The following questions represent information required by your broker to produce a Suitability Application for the new accounts being established. Please enter the applicable information and press the **Next** button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Investor Name: SIDONIE GABRIELLE COLETTE
 Occupation:
 Nature of Business:
 SSN: 264-11-7472
 Birthdate: (MM/DD/YYYY)
 Home Phone Number:
 Business Phone Number: (816)435-8105
 Marital Status: ☐ Single ☐ Married ☐ Widowed
 Number of Dependents:
 Tax Bracket:
 Annual Income: \$
 Liquid Assets: \$
 Net Worth: \$ (excluding home and personal property)
 Is the Investor employed by or associated with a member firm of NASD? ☐ Yes ☐ No

Investment Information

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES MONEY MARKET FUND (CUSIP340)	CLASS A SHARES	\$ 50.00
NO-LOAD FUND (CUSIP900)	CLASS A SHARES	\$ 100.00
CLIENT SERVICES LOAD FUND (CUSIP101)	CLASS A SHARES	\$ 5.00
CLIENT SERVICES LOAD TEST FUND (CUSIP401)	CLASS A SHARES	\$ 200.00
Total:		\$ 350.00

Source of Funds

☐ Inheritance
☐ Rollover
☐ Pension Distribution
☐ Personal
☐ Transfer
☐ Other

Purpose(s) of Investment

☐ Retirement
☐ Professional Management
☐ Diversified Investment
☐ Accumulated Savings
☐ Gift
☐ Other

Portfolio Objective(s)

☐ Growth
☐ Income
☐ Safety of Principal
☐ Total Return
☐ Tax Deferral
☐ Other

Investment Experience

Years of Investing:
☐ Stocks
☐ Bonds
☐ Mutual Funds
☐ Partnerships
☐ Options
☐ Other

Broker Use Only

Broker Reference Number:

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New Account Suitability Information

Personal Information

Investor Name

Displays the shareowner's name as it appears on the Enter Registration Information window.

Occupation

An entry field for the primary shareowner's occupation.

Nature of Business

An entry field for a brief description of the primary shareowner's occupation.

SSN

Allows entry of the primary shareowner's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the primary shareowner's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the primary shareowner's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the primary shareowner's business phone number if none was indicated on Enter Shareowner Address window.

Marital Status

Click one of the buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

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Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

Is the investor employed by or associated with a member firm or NASD?

Enables you to indicate whether the investor is employed by or associated with a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information**Joint Investor**

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

Occupation

An entry field for the joint investor's occupation.

Nature of Business

An entry field for a brief description of the joint investor's occupation.

SSN

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

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Home Phone Number

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Business Phone Number

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Annual Income

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information**Minor Name**

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection**Fund Name (CUSIP)**

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

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Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Payment Type

Displays the method of payment chosen for the investment selections.

Source of Funds

Check one or more boxes to indicate how the investment will be funded or use the "Other" box to specify a source that is not on this list.

Purpose(s) of Investment

Check one or more boxes to indicate the reasons for the investment selections funded or use the "Other" box to specify a reason that is not on this list.

Portfolio Objective(s)

Check one or more boxes to indicate the objectives of the mutual funds selected use the "Other" box to specify an objective that is not on this list.

Investment Experience

Enter the number of years and check one or more boxes to indicate the type of investment experience. You can also use the "Other" box to specify any investment experience that is not on this list.

Broker Use Only

Broker Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify New Account Suitability Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.

Broker Application

C:\Anas\brokerapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Enter Broker Application Information

The following questions represent information required by your broker to produce a Brokerage Application for new accounts being established. Please enter the applicable information and press the **Next** button to continue. If you are not certain of a particular value, please make a reasonable estimation.

Personal Information

Account Identifier: ☐ New Customer ☐ Existing Customer
 Employee Account: ☐ Yes ☐ No
 Investor Name: SIDONIE GABRIELLE COLETTE
 Occupation:
 Nature of Business:
 Employer Name:
 Employer Address:
 Number of Years Employed:
 SSN: 264-11-7472
 Birthdate (MM/DD/YYYY):
 Home Phone Number:
 Business Phone Number: (816)435-8105
 Address: 3731 WYOMING ST APT 2N
 KANSAS CITY MO 64111-5855
 Type: Joint Tenant
 Citizenship: Resident Alien
 Marital Status: ☐ Single ☐ Married ☐ Widowed
 Number of Dependents:
 Annual Income: \$
 Liquid Assets: \$
 Net Worth: \$ (excluding home and personal property)
 Tax Bracket: %

Is the Investor(s) licensed as a Registered Representative? ☐ Yes ☐ No
 If yes, broker/dealer name:
 Is Investor(s) related to a Registered Representative? ☐ Yes ☐ No
 If yes, name of Registered Representative:
 Is the Investor(s) director/officer of a publicly traded company? ☐ Yes ☐ No
 If yes, name of company:
 Is the Investor(s) 10% owner of a publicly traded company? ☐ Yes ☐ No
 If yes, name of company:
 Is the Investor employed by or associated with a member firm of NASD? ☐ Yes ☐ No

Broker Application Information window (Part I)

C:\Anasubrokerapp.html - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Joint Investor Information

Investor Name: HENRI DE JOUVENAL

Occupation:

Nature of Business:

Employer Name:

Employer Address:

Number of Years Employed:

SSN:

Birthdate: (MM/DD/YYYY)

Home Phone Number:

Business Phone Number: Ext:

Annual Income: \$

Liquid Assets: \$

Net Worth: \$ (excluding home and personal property)

Tax Bracket: %

Investment Information

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	\$ 0.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP1400)	CLASS A SHARES	\$ 0.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	\$ 30.00
CLIENT SERVICES LOAD FUND (C3154101)	CLASS A SHARES	\$ 230.00
CLIENT SERVICES LOAD TEST FUND (C4404101)	CLASS A SHARES	\$ 225.00
Total:		\$ 525.00

Payment Type: ☐ Electronically Debit Customer's Bank Account

Transaction Date: 09/20/1999

Source of Funds: ☐ Inheritance ☐ Rollover ☐ Pension Distribution ☐ Personal ☐ Transfer ☐ Other

Purpose(s) of Investment: ☐ Retirement ☐ Professional Management ☐ Diversified Investments ☐ Accumulated Savings ☐ Gift ☐ Other

Portfolio Objective(s): ☐ Growth ☐ Income ☐ Safety of Principal ☐ Total Return ☐ Tax Deferral ☐ Other

Investment Experience: Years of Investing:

☐ Stocks ☐ Bonds ☐ Mutual Funds ☐ Partnerships ☐ Options ☐ Other

Portfolio Time Horizon: ☐ Short-term (1-4 years) ☐ Intermediate term (4-9 years) ☐ Long-term (10+ years)

Risk Exposure: ☐ Low ☐ Moderate ☐ Speculative ☐ High Risk

Dealer Information

Dealer Name:

Dealer/Branch Number: 11111/111

Representative Number: 1234

Representative Name: GERTRUDE STEIN

Representative Phone Number:

Reference Information

Broker Reference:

Personal Reference:

Bank Reference:

Broker Use Only

Broker Trade Reference Number:

☐ Nasd

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Broker Application Information window (Part II)

Personal Information

Account Identifier

Click one of these buttons to indicate whether the investor is a new or existing customer.

Employee Account

Click one of these buttons to indicate whether the investor is an employee of the brokerage firm.

Investor Name

Displays the shareowner's name as indicated on the Enter Registration Information window.

Occupation

Enables you to indicate the investor's occupation.

Nature of Business

Enables you to enter a brief description of the investor's occupation.

Employer Name

Enables you to enter the name of the investor's employer.

Employer Address

Enables you to indicate the address of the investor's employer.

Number of Years Employed

Enables you to specify the number of years the investor has been employed.

SSN

Enables you to enter the investor's Social Security number if none was specified on the Enter Registration Information window.

Birthdate

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Home Phone Number

Enables you to enter the investor's home telephone number.

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Business Phone Number

Enables you to enter the investor's business telephone number (the number will fill in automatically it was listed on a previous window).

Address

Displays the investor's address as indicated on the Enter Shareowner Address window.

Type

Displays the type of registration.

Citizenship

Displays the shareowner's citizenship as specified on the Enter Registration Information window.

Marital Status

Click one of these buttons to indicate the marital status of the investor.

Number of Dependents

Enables you to enter the number of dependents claimed by the investor.

Annual Income

Enables you to enter the investor's annual income.

Liquid Assets

Enables you to enter the amount of the investor's liquid assets.

Net Worth

Enables you to indicate the investor's net worth (excluding home and personal property).

09475637 423095

Tax Bracket

Enables you to enter the investor's federal income tax percentage.

Is investor licensed as a Registered Representative?

Click one of these buttons to indicate whether the investor is licensed as a Registered Representative.

If yes, broker/dealer name

If yes, (above), the name of the broker/dealer.

Is investor related to a Registered Representative?

Click one of these buttons to indicate whether the investor is related to a Registered Representative.

If yes, name of Registered Representative

If yes (above), enter the Registered Representative's name.

Is investor a director/officer of a publicly traded company?

Click one of these buttons to indicate whether the investor is a director or officer of a publicly traded company.

If yes, name of company

If yes (above), enter the name of the company.

Is investor employed by, or associated with, a member firm of NASD?

Click one of these buttons to indicate whether the investor is employed by, or associated with, a member firm of the National Association of Securities Dealers (NASD).

Joint Investor Information

Joint Investor

Displays the minor or first shareowner specified on a joint account as it appears on the Enter Registration Information window.

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An entry field for the joint investor's occupation.

Enables you to enter the name of the joint investor's employer.

Enables you to indicate the address of the joint investor's employer.

Enables you to specify the number of years the joint investor has been employed.

Allows entry of the joint investor's social security number if none was specified on the Enter Registration Information window.

Allows entry of the joint investor's date of birth if none was specified on the Enter Registration Information window. It must be entered in the MM/DD/YYYY format.

Enables you to enter the joint investor's home phone number if none was indicated on Enter Shareowner Address window.

Enables you to enter the joint investor's business phone number if none was indicated on Enter Shareowner Address window.

Enables you to enter the joint investor's annual income.

Liquid Assets

Enables you to enter the amount of the joint investor's liquid assets.

Net Worth

Enables you to indicate the joint investor's net worth (excluding home and personal property).

Tax Bracket

Enables you to enter the joint investor's federal income tax percentage.

Minor Information**Minor Name**

Displays the minor's name if listed on the Enter Registration Information window.

Minor SSN

Enables you to enter the minor's Social Security number (the SSN will fill in automatically if it was entered on a previous window).

Minor Birthdate

Enables you to enter the minor's date of birth.

Investment Selection**Fund Name (CUSIP)**

Displays the name(s) of the fund(s) indicated on the Select a Fund window.

Share Class

Displays the share class of all funds indicated on the Select a Fund window.

Initial Investment Amount

Displays the initial investment amount for each fund.

Total

Displays the total dollar amount for all new accounts being established.

Purchase Type

Displays the method of payment chosen for the investment selections.

660367-263469

Source(s) of Funds

Enables you to indicate the source(s) of the investment dollars.

Purpose(s) of Investment

Enables you to indicate the reason(s) for the investment.

Portfolio Objective(s)

Enables you to indicate the objective(s) of the mutual fund selected.

Investment Experience

Enables you to indicate the amount and type of the investor's experience.

Portfolio Time Horizon

Enables you to indicate the time frame for the investor's future investments.

Risk Exposure

Enables you to indicate the degree of exposure the investor is willing to risk.

Dealer Information

Dealer Name

Displays the name of the dealer as shown on the Enter Representative Information window.

Dealer/Branch Number

Displays the dealer and branch number shown on the Enter Representative Information window.

Representative Name

Displays the name of the representative as shown on the Enter Representative Information window.

Representative Phone Number

Enables you to enter the dealer representative's phone number.

Reference Information

Broker Reference

Enables you to enter a broker reference number for the investor.

65067-1309

Personal Reference

Enables you to enter a personal reference number for the investor.

Bank Reference

Enables you to enter a bank reference number for the investor.

Broker Use Only

Broker Trade Reference Number

Enables you to assign a broker reference number to this trade.

Once all the information is entered, click **Next**. The Verify Broker Application Information window appears.

If all the information is correct, click **Next** to return to the Setup Account Options window, or click **Back** to correct any errors.

When you have selected all the options for this account, click **Next** to advance to the Account Application Verification window.


Account Application Verification

The Account Application Verification window allows for the review of all information entered prior to printing or submitting the new account for setup.

There are several versions of this window depending on the account type and payment method. If the initial investment will be paid via ACH, bank instructions will appear in this window. For payment by check, click the **Display/Print Application** button to print a copy of the application that you can mail to the fund with the check.

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File Edit View Favorites Tools Help

 **GLOBAL PRIME INVESTORS FUNDS**
Establish New Account - JOINT TENANT
Today's Date: 09/28/1999 11:51:37 PM CDT

Account Application Verification
Please page down to review the information below and use the back button to return to the appropriate page to make any changes before submitting and/or printing.

Registration Information
SIDONIE-GABRIELLE COLETTE &
HENRI DE JOUVENAL ITWRCS
3731 WYOMING ST APT 2N
KANSAS CITY MO 64111-5833
Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816) 635-8105
E-mail: sgc@chen.com

Investment Selection

Fund Name (CUSIP)	Share Class	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	\$.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	\$.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	\$ 50.00
CLIENT SERVICES LOAD FUND (381545101)	CLASS A SHARES	\$ 250.00
CLIENT SERVICES LOAD TEST FUND (34604107)	CLASS A SHARES	\$ 225.00
Payment Type: Electronically Debit Customer's Bank Account		Total: \$ 525.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Information

Distribution:	CLIENT SERVICES SPECIALIZED PORTFOLIOS	Reinvest dividends Reinvest capital gains
	CLIENT SERVICES MONEY MARKET FUND	Pay dividends by check Pay capital gains by check
	NO-LOAD FUND	Pay dividends by direct deposit Pay capital gains by direct deposit
	CLIENT SERVICES LOAD FUND	Reinvest dividends and capital gains to NO-LOAD FUND Account: 3000 Registration Information DEBBIE R LOPEZ 503 PACIFIC DR BELTON MO 64012-2935
	CLIENT SERVICES LOAD TEST FUND	Pay dividends by check Pay capital gains by check

Bank Account Information for Distribution
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Application Verification (Part I)

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2 Vision - New Account Setup - JOINT TENANT - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Automatic Investment: Starting Month: Sep
Frequency: Apr Sep

Funds Selected Today

Fund Name	Amount	Investment Day(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$100.00	01
CLIENT SERVICES MONEY MARKET FUND	\$30.00	15
NO-LOAD FUND	\$25.00	01
CLIENT SERVICES LOAD FUND	\$75.00	15
CLIENT SERVICES LOAD TEST FUND	\$150.00	01

Bank Account Information for Automatic Investment
 Bank Name: PEOPLES BANK OF MISSOURI
 Bank Address: PO BOX 419225
 KANSAS CITY MO 64141-0000
 Account Number: 123456789
 ABA Routing#: 101000695

Automatic Withdrawal: Starting Month: Sep
Frequency: May Oct

Funds Selected Today

Fund Name	Amount	Withdrawal Day	Payment Type
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$30.00	15	Direct Deposit
CLIENT SERVICES MONEY MARKET FUND	\$300.00	01	Check
CLIENT SERVICES LOAD FUND	\$75.00	01	Direct Deposit
CLIENT SERVICES LOAD TEST FUND	\$150.00	15	Check

Bank Account Information for Automatic Withdrawal
 Bank Name: PEOPLES BANK OF MISSOURI
 Bank Address: PO BOX 419225
 KANSAS CITY MO 64141-0000
 Account Number: 123456789
 ABA Routing#: 101000695

Letter of Intent: Establish a new LOI.
Agreement Amount: \$25,000.00

New Funds Included in Link

Fund Name	Existing Account(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	
CLIENT SERVICES LOAD FUND	
CLIENT SERVICES LOAD TEST FUND	

Existing Accounts to be Linked to a New LOI

Existing Fund	Existing Account(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	5153

Rights of Accumulation: The new accounts and any eligible related accounts will be automatically linked together for ROA.

Telephone Redemption:

Fund Name	Option
CLIENT SERVICES SPECIALIZED PORTFOLIOS	Telephone redemptions not allowed.
CLIENT SERVICES MONEY MARKET FUND	Telephone redemptions not allowed.
NO-LOAD FUND	Telephone redemptions not allowed.
CLIENT SERVICES LOAD FUND	Telephone redemptions not allowed.

Telephone Exchange: The following funds have been selected for telephone exchange.

Fund Name
CLIENT SERVICES SPECIALIZED PORTFOLIOS
CLIENT SERVICES MONEY MARKET FUND

Representative Information
 Dealer Number: 11111
 Branch Number: 111
 Rep Number: 1234
 Representative Name: GERTRUDE STEIN
 Representative Phone Number:

☒ Establish Account(s) Electronically

By clicking Establish Account(s) Electronically, the new account(s) will be established real time at the fund, and the initial purchase will be settled automatically via Automated Clearing House (ACH), as instructed. The fund company has ACH processing rules which may affect this transactions trade date. The fund company reserves the right to reject this transaction. Additional instructions will be provided on how to print the application and suitability form, if applicable.

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Account Application Verification (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays the fund name, share class, initial investment amount, total investment, payment type, and bank instructions for all funds selected. The **Initial Investment Amount** will display as "0.00" if the initial investment was waived. **Total, Payment Type** and **Bank Account Information** for Initial Investment will not appear if the initial investment was waived for all funds selected.

Account Options

Distributions

Displays the dividend and capital gains processing instructions for each mutual fund selected. The reinvest to account registration will appear for mutual funds when the reinvestment diversification plan was selected. Additionally, for mutual funds paying dividends and capital gains by direct deposit, the bank accounts instructions will appear.

Automatic Investment

Displays the plan starting month, investment frequency, investment amounts and days, and bank instructions.

Automatic Withdrawal

Displays the plan starting month, withdrawal frequency, investment amounts and days, and bank instructions.

Letter of Intent

Displays the LOI options specified, the registration information for existing accounts linked to the new LOI, and the LOI information and registration information where the new account were linked to an existing LOI.

Rights of Accumulation

Displays the ROA options specified, the registration information for existing accounts linked to the new ROA, and the ROA information and registration information where the new accounts were linked to an existing ROA.

Interested Party

Displays up to four interested parties' names and addresses.

Telephone Redemption

Displays the telephone redemption processing options and bank instructions.

Telephone Exchange

Indicates whether or not telephone exchange was specified.

Representative Information

Displays the dealer number and name, branch number, representative number and name as well as the representative phone number.

Establish Account(s) Electronically

Press this button to format and transmit the new account information to the fund through the Web server. The accounts will be established in real time. The confirmation or remittance will include the trade reference code and account number established for each mutual fund selected.

Display/Print Application (for Payment by Check)

This button appears only if you selected **Mail Check to the fund** as the payment type on the Enter Investment Amount window and allows you to print a copy of the application to mail to the fund with the check.

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Account Application Confirmation (ACH Payment)

If the shareholder is establishing an account via ACH, an Account Application Confirmation window appears.

GLOBAL PRIME INVESTORS FUNDS
Account Application Confirmation
(Printable Confirmation)

Please print this page.

You have approved a request to establish new accounts listed below with a total initial investment of \$525.00. This amount will be withdrawn from your bank account displayed below. The fund company has Automated Clearing House (ACH) processing rules which may affect the transactions trade date. The fund company reserves the right to reject this transaction. If the shareholder does not receive a written confirmation of this transaction, please contact the fund company at (816) 843-6712.

Registration Information

SIDONIE GABRIELLE COUETTE & HENRI DEJOUVENAULT-WROS 5721 WYOMING ST APT 2N KANSAS CITY, MO 64111-5103	Type: JOINT TENANT SSN: 24-11-747 Citizenship: Resident Alien Bus. Phone: (816) 843-6712 E-mail: ggc@chari.com
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Investment Selection

Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	600006894	\$0.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP2400)	CLASS A SHARES	600006894	\$0.00
NO LOAD FUND (CUSIP9200)	CLASS A SHARES	600006894	\$50.00
CLIENT SERVICES LOAD FUND (CUSIP3100)	CLASS A SHARES	600006894	\$250.00
CLIENT SERVICES LOAD TEST FUND (CUSIP4100)	CLASS A SHARES	600006894	\$225.00

Payment Type: Electronically Debit Customer's Bank Account

Bank Account Information for Initial Investment

Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419223
KANSAS CITY, MO 64141-0000
Account Number: 123456789
ABA Routing: 101000993

Display/Print Application

(Navigation: [Home] [Help] [Back to Vision Setup])

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Account Application Confirmation

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

Account Application Remittance (Payment by Check)

The Account Application Remittance form will appear if the account is established electronically and the initial purchase will be settled by check. The remittance form includes shareowner account information, investment selections, and the new account numbers. The form should be printed and remitted to the fund company along with the shareowner's check.

GLOBAL PRIME INVESTORS FUNDS
Account Application Remittance

Please print this page.

You have approved a request to establish new accounts listed below with a total initial investment of \$100.00. Please attach your check to a printed copy of this application remittance and forward it to the fund company. If the shareholder does not receive a written confirmation of the transaction, please contact the fund company at (816) 843-5712.

Registration Information		Type Individual/Mut	
MOOREK KOCUREK	971 WYOMING ST APT 211	SSN 254115471	Citizenship Resident/Alam
KANSAS CITY, MO 64111-5831			

Investment Selection		Share Class	Account Number	Initial Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CISDPV00)	CLASS A SHARES	00000001		\$100.00
Payment Type: Check				Total: \$100.00

Click Display/Print Application Now

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Account Application Remittance

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Application

Click this button to display a printable Account Application including the account numbers as well as spaces for shareowner signature(s) in a separate frame.

New Account Application/Adoption Agreement

This window allows the operator to print a copy of the completed application including the fund-specific text, registration information, investment selections, new account numbers, account options, and an area for the shareowner's signature and date.

For fiduciary accounts, the New Account Application includes beneficiary information and an adoption agreement.

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660627 4893460

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GLOBAL PRIME INVESTORS FUNDS
New Account Application
Today's date: 09/20/99 11:52:51 PM CDT

Please print this page.

By completing the following new account application, the investor agrees that the rights of the bank named below with respect to checks drawn on and debit entries initiated to the investors account are the same as if they were checks drawn on the bank and signed by the investor. The investor agrees that the bank shall be fully protected and without any liability whatsoever in honoring or refusing to honor any such check and in accepting or refusing to accept any such debit entry, whether with or without cause and whether intentionally or inadvertently.

Registration Information

SIDONIE GABRIELLE COLETTE &
HENRI DE JOUVENAL TWROS
3731 WYOMING ST APT 2H
KANSAS CITY MO 64111-3835

Type: JOINT TENANT
SSN: 264-11-7472
Citizenship: Resident Alien
Bus. Phone: (816)435-8103
E-mail: sgc@chsd.com

Investment Selection

Fund Name (CUSIP)	Share Class	Account Number	Initial Investment Amount
CLIENT SERVICES SPECIALIZED PORTFOLIOS (CUSIP9700)	CLASS A SHARES	600000894	\$ 0.00
CLIENT SERVICES MONEY MARKET FUND (CUSIP3400)	CLASS A SHARES	600000894	\$ 0.00
NO-LOAD FUND (CUSIP9300)	CLASS A SHARES	600000894	\$ 30.00
CLIENT SERVICES LOAD FUND (31543101)	CLASS A SHARES	600000894	\$ 230.00
CLIENT SERVICES LOAD TEST FUND (34004107)	CLASS A SHARES	600000894	\$ 225.00

Payment Type: Electronically Debit Customer's Bank Account

Total: \$ 525.00

Bank Account Information for Initial Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

Account Information

Distribution: CLIENT SERVICES SPECIALIZED PORTFOLIOS: Reinvest dividends
Reinvest capital gains

CLIENT SERVICES LOAD FUND: Reinvest dividends and capital gains to NO-LOAD FUND

Account: 3000

Registration Information
DEBBIE R LOPEZ
503 PACIFIC DR
BELTON MO 64012-2935

Automatic Investment

Starting Month: Sep
Frequency: Apr, Sep

Fund Selected Today	Amount	Investment Day(s)
CLIENT SERVICES SPECIALIZED PORTFOLIOS	\$100.00	01
CLIENT SERVICES MONEY MARKET FUND	\$30.00	15
NO-LOAD FUND	\$25.00	01
CLIENT SERVICES LOAD FUND	\$75.00	15
CLIENT SERVICES LOAD TEST FUND	\$120.00	01

Bank Account Information for Automatic Investment
Bank Name: PEOPLES BANK OF MISSOURI
Bank Address: PO BOX 419226
KANSAS CITY MO 64141-0000
Account Number: 123456789
ABA Routing#: 101000695

New Account Application (Part I)

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Representative Information

Dealer Number: 11111
Branch Number: 111
Rep Number: 1234
Representative Name: GERTRUDE STEIN
Representative Phone Number:

You must complete this section in order to establish your account. Sign exactly as printed on registration. Print times below if signing on behalf of a business or trust. For joint registration, all must sign.

- I am of legal age, have read the fund prospectus(es) and agree to its terms.
- If I have not declined the automated transaction privilege, I agree to indemnify and hold harmless GLOBAL PRIME INVESTORS FUNDS, and its subsidiaries, including GLOBAL PRIME INVESTORS FUNDS (the Fund's service agent), collectively "GLOBAL PRIME INVESTORS FUNDS", and any fund that may be involved in transactions authorized by telephone or Internet against any claim, loss, expense or damage, including reasonable fees of investigation and counsel, in connection with any automated withdrawal effected on my account. Furthermore, GLOBAL PRIME INVESTORS FUNDS is authorized to act upon instructions received by Internet or telephone from any party that can provide my personal identification number in the case of transactions performed via the Internet or FundInfo, or in the case of automated transactions performed by other means, any two of the following: 1) my account registration, 2) address of record, and/or 3) Social Security number. Joint accounts will act on the instruction of any one tenant.
- I understand that the automated transaction privilege may be modified or terminated at any time. I also understand that all privileges and features selected in this application, including the automated transaction privilege if I have not declined it, are subject to the conditions and provisions set forth herein and in the current prospectuses of the funds.
- I understand that if I elect to declare one or more beneficiaries, the account is subject to the GLOBAL PRIME INVESTORS FUNDS Rules Governing Transfer on Death Registrations under the Missouri non-probate transfer laws.
- I understand that if GLOBAL PRIME INVESTORS FUNDS or any fund fails to follow the procedures outlined in the prospectus, it may be liable for any losses due to unauthorized or fraudulent instruction.

For corporations, trusts, or partnerships: We hereby certify that each of the persons listed below has been duly elected, is now legally holding the office set forth opposite his/her name, and has the authority to make this authorization.

If I am a U.S. citizen or resident alien, as indicated above, I certify under penalties of perjury that (1) my Social Security or tax identification number provided in this application is correct (or I am waiting for a number to be issued to me) and (2) I am not subject to backup withholding because (a) I am exempt from backup withholding or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding or (c) the IRS has notified me that I am no longer subject to backup withholding. (Please cross out then (2) (b) above if it does not apply to you.)

If I am a non-resident alien, as indicated above, I certify, under penalty, that I am not a U.S. citizen or resident alien (or I am filing for foreign corporation, partnership, estate, or trust), and I am an exempt foreign person as defined under IRS regulations.

The IRS does not require your consent to any provision of this document other than the certifications required to avoid backup withholding.

Signature and Date

Signature _____ Date _____

Display/Print Brokerage Application

By pressing the Display/Print Brokerage Application button, the completed Brokerage Application will be displayed to print.

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New Account Application (Part II)

Registration Information

This section contains the full registration (name, registration type and address) as well as the type of account, SSN, citizenship, business and home telephone numbers and e-mail address.

Investment Selection

Displays all the mutual funds selected where new accounts will be established as well as share class, initial investment amount, payment type, bank instructions and account numbers.

Display/Print Brokerage or Suitability Application

If you completed a brokerage or suitability application during new account setup, you can display or print a copy of the form by clicking this button.

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NOTES

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